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ABSTRACT

This manual, prepared primarily for state government agencies, describes the organization and management of Alaska government records. Information is presented in nine topic areas: (1) Alaska's Archives and Records Management Program, which describes the program, its mission, services available, and employee responsibilities; (2) Records in Perspective, which describes what a record is, why government records are important, and what records are confidential; (3) Records Retention Schedule, which covers steps in setting up a schedule, inventorying materials, determining value, and using the schedule; (4) Transferring Records, to the Records Center, which includes deciding which records to transfer, packaging, transfer lists, and folder listings and retrieval aids; (5) Retrieving Records from the Records Center, which discusses ownership, access, and retrieval by file or box; (6) Disposition, which addresses when to destroy records; (7) State Archives, which describes the function of the archives, which records to send to the archives, what happens to archived records, and rules for the use of archival materials; (8) Vital Records, which covers how to identify, appraise and protect vital records; and (9) Micrographics, which discusses which records to microfilm, legal acceptability, formats, hardware, storage conditions, and other issues. The state's general administrative records retention schedule, a vital records checklist, file cabinet operating cost worksheet, file management tips, a record storage contract fee schedule, a document reproduction fee schedule, a publications listing, and a 12-item bibliography are appended. A glossary is also included. (KRN)

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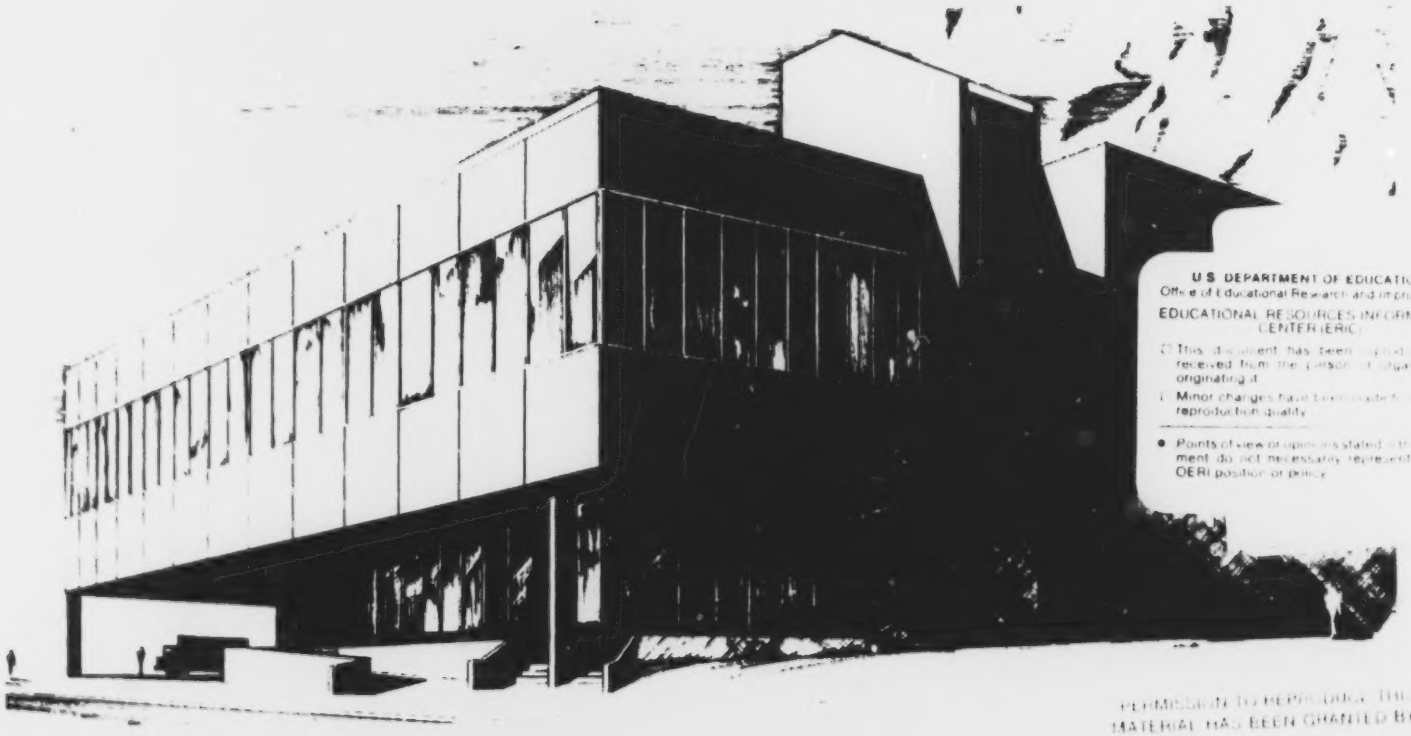
RECORDS MANAGEMENT MANUAL



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CONTENTS

Page

1 Alaska's Archives & Records Management Program

1.1 The Information Explosion 1
1.2 The Archives & Records Management Program 1
1.3 The Mission of the Archives & Records Management Service 1
1.4 Services Available 1
1.5 Agency Head Responsibilities 2
1.6 Records Officer Responsibilities 2

2 Records In Perspective

2.1 Why Are Government Records Important? 3
2.2 What is a Record? 3
2.3 What are Non-Record Materials? 3
2.4 What are Personal Papers? 3
2.5 What Records are Confidential? 4

3 The Records Retention Schedule

3.1 What is a Records Retention Schedule? 5
3.2 Steps in Establishing a Retention Schedule 5
3.3 The Records Inventory 5
3.4 The Record Series 6
3.5 The Records Inventory and Analysis Worksheet 6
3.6 Records Analysis 8
3.7 Archival Appraisal - Determining Permanent Value 8
3.8 Equating Value with Time: Establishing the Retention Period 9
3.9 Drafting the Retention Schedule 9
3.10 Approving the Final Schedule 9
3.11 How to Use the Retention Schedule 9
3.12 Schedule Review and Revision 10
3.13 The General Administrative Records Retention Schedules 10
3.14 What Does Archival Review (AR) Mean? 10

4 Transferring Records to the Records Center

4.1 Which Records to Transfer and When to Transfer Them 11
4.2 Records Storage Boxes 11
4.3 Packing the Boxes 14
4.4 Numbering the Boxes 14
4.5 The Records Transfer List 15
4.6 Detailed Folder Listings - File Retrieval Aids 15
4.7 Contract Records Services in Anchorage 16

5 Retrieving Records From the Records Center

5.1 Ownership of Stored Records 17
5.2 Access to Stored Records 17
5.3 File or Box Retrieval 17
5.4 Determining the Records Center Location 19
5.5 Returning Files to the Records Center 19
5.6 Interfiles 19

Page

6 Disposition of Records

6.1 When Can Records Be Destroyed? 21
6.2 The Records Disposition Authorization 21
6.3 How Does the Records Center Destroy Records? 21

7 The State Archives

7.1 Differences Between the Archives and the Records Center 23
7.2 What is Archival Custody? 23
7.3 Which Records Go To the Archives - and When? 23
7.4 Sending Records From the Agency to the Archives 23
7.5 Transmittal/Receipt Instructions 25
7.6 What Happens to Records After They Go To the Archives? 25
7.7 Basic Archival Principles 27
7.8 Using the State Archives 27
7.9 Rules for the Use of Archival Materials 28
7.10 Document Reproduction Services 28

8 Vital Records

8.1 What Are Vital Records? 29
8.2 Objectives of the Vital Records Program 29
8.3 Vital Records Program Responsibility 29
8.4 Vital Records Program Tasks 29
8.5 Vital Records Identification and Appraisal 29
8.6 Potential Disasters 30
8.7 Methods of Vital Records Protection 30

9 Micrographics

9.1 Benefits of Micrographics 31
9.2 Importance of Good Records Management 31
9.3 Which Records Should Be Microfilmed and When? 32
9.4 Is Microfilm Legally Acceptable? 32
9.5 Microform Formats 32
9.6 Microfilm Hardware 32
9.7 Standards for Microfilm Quality 33
9.8 Storage Conditions for Microfilm 33
9.9 Indexing and Labeling 33
9.10 Destruction of Paper After Filming 34
9.11 Central Microfilm Services 34

APPENDICES

A. Examples of Record Series Descriptions 37
B. General Administrative Records Retention Schedules 38
C. Vital Records Checklist 52
D. File Cabinet Operating Cost Worksheet 53
E. Files Management Tips 54
F. Record Storage Contract Fee Schedule 55
G. Alaska State Archives Record Groups 56
H. Document Reproduction Fee Schedule 58
I. Publications Listing 59
J. Suggested Readings 60

GLOSSARY 61

1 ALASKA'S ARCHIVES & RECORDS MANAGEMENT PROGRAM

1.1 THE INFORMATION EXPLOSION

State government is experiencing an information explosion that creates a tremendous records management problem. The average State agency with at least five file cabinets is investing almost one million dollars in creating and maintaining information. Without readily accessible and accurate information, State officials can not make those decisions that will protect the rights of the State and its citizens. Public records contain this essential information and thus become the memory of government.

Information, in the many forms that records may take, is indispensable in the conduct of daily business and is one of the State's most valuable assets.

While most recorded information eventually loses its current administrative value; other fiscal, legal, or historical values require retention of the records for varying lengths of time.

Storing non-current records in high-cost office space, in rented warehouses, in agency storerooms, or in other unprotected areas proves to be an expensive practice in terms of space, equipment, staff, and the potential for loss of valuable information.

1.2 THE ARCHIVES & RECORDS MANAGEMENT PROGRAM

A records management program provides systematic control of recorded information throughout its "life cycle" from birth in the agency to death (destruction) or permanent retention in an archives. Control is achieved by establishing standards for the creation, distribution, use, retention, storage, retrieval, protection, preservation, and final disposition of an agency's total information resources. An archives program that preserves records with historical significance is the logical extension of this basic records management principle.

In 1970, recognizing that a combined archives and records management program is the best way to combat the rising costs of creating and maintaining information and to ensure the continued preservation of historical records, the legislature enacted the "Management and Preservation of Public Records Act" (AS 40.21) establishing the Archives & Records Management Program.

The State Archives & Records Center building was completed in 1975. Additional leased space was acquired in 1980 and expanded again in 1990. The records storage capacity of the combined facilities is over 70,000 cubic feet.

As a further means of promoting the cost savings of records management, a contract was awarded for records storage services in Anchorage. Costs for the contract records storage services are paid by the using agency. The contract fee schedule is found in **Appendix F.**

1.3 THE MISSION OF THE ARCHIVES & RECORDS MANAGEMENT SERVICE

The mission of the Archives & Records Management Services is to provide orderly and cost effective management of records to identify, preserve, and make available the permanently valuable records of the State of Alaska. Agencies that follow the guidelines set forth by the Archives & Records Management Services ensure that the right information is made available to the right people at the right time and in the right format for reference and use.

1.4 SERVICES AVAILABLE

Both archival and records management services are offered to State agencies at no cost. Non-current records storage is provided including storage of microfilm, magnetic tapes, engineering drawings, and audiovisual materials. Centralized records storage results in a storage ratio of 14 cubic feet to 1 square foot. In an office, the storage ratio is usually only 2 cubic feet to 1 square foot. Additionally, a high level of protection is provided to stored records through temperature/humidity controls, fire suppression systems, and security alarm systems.

The Archives & Records Management Services provides, at cost, a standard storage carton. Pick-up and delivery service in the Juneau area is also provided by the Records Center staff.

A professional staff provides technical assistance to agencies in files and records management, vital records protection, micrographics, and archival preservation. Workshops are offered in basic files and records management as well as specialized topics.

A professional reference library is maintained for both staff and agency use. Materials listed in **Appendix J**, Suggested Readings, are maintained in the reference collection. Also included in the reference collection are videos and slide/tape presentations on records management topics, professional journals, specialty catalogs, and trade magazines.

1.5 AGENCY HEAD RESPONSIBILITIES

"The Management and Preservation of Public Records Act" (AS 40.21) places certain responsibilities upon the chief executive officers of State agencies. In summary, State officials are to:

- create and preserve records that document agency functions, projects, and policies;
- control the maintenance and authorized use of their records;
- establish and maintain records retention schedules for all agency records under policies prescribed by the Archives and Records Management Service;
- ensure the orderly disposition of records including transfer of permanent records to the State Archives;
- identify and protect the agency's vital records;
- appoint a records officer with sufficient authority and resources to initiate, implement, and maintain an ongoing records management program within the agency.

1.6 RECORDS OFFICER RESPONSIBILITIES

The Departmental Records Officer provides a central contact between the agency and the Archives & Records Management Services. Their responsibilities are to:

- adhere to the standards and procedures established by the Archives & Records Management Services;
- coordinate and submit detailed records inventory information;
- suggest the establishment or revision of records retention schedules;
- establish agency procedures to ensure compliance with retention schedules including transfer and disposition of non-current records;
- secure approval for the disposition of agency records;
- provide technical records management assistance or referral for assistance to agency personnel;
- maintain stocks of Archives & Records Management Services forms for agency use;
- report annually to the agency head and the Archives & Records Management Services on the effectiveness of the agency's records management program.

2 RECORDS IN PERSPECTIVE

2.1 WHY ARE GOVERNMENT RECORDS IMPORTANT?

Public records contain evidence of financial and legal commitments that must be preserved to protect the government. They contain information necessary to protect the civil, legal, and property rights of citizens. Records provide the basis for continuity of State policies, actions, and procedures. An agency's records provide the proof needed to demonstrate that the needs and wishes of the legislature and the citizens of the state are being served. In addition, records contain a wealth of data and source materials basic to scholarly or technical research.

2.2 WHAT IS A RECORD?

The words **"paper"** and **"record"** are not synonymous in today's technology based offices. Official records are documents, regardless of physical form, that are made or received in connection with the transaction of agency business. Records relate directly to the functions of an agency. A record may be any of the following:

- an engineering drawing on mylar; a memorandum printed or typed on paper;
- a series of electronic impulses on a magnetic tape or disk;
- a microfilm image on a fiche or reel;
- a photographic image or video tape;
- an audio recording on tape, cassette, or compact disc;
- a core chip or sample, a fish scale mounted on a slide, or even
- a bottle of air from a sampling.

The statutory definition of "record" and "agency" are found in the Glossary.

2.3 WHAT ARE NONRECORD MATERIALS?

Certain classes of materials are termed "non-record." These kinds of materials are not listed on the records retention schedule and agencies may discard nonrecord materials as soon as the administrative purpose is fulfilled. Some examples of nonrecord materials are:

- tickler, follow-up, or suspense copies;
- duplicate copies of documents;
- stocks of publications maintained for distribution;
- stocks of blank forms;
- superseded manuals, policies, and directives that are maintained outside the issuing office;
- materials documenting fringe activities (i.e., holiday parties, charitable fund drives, office coffee fund);
- routing slips and transmittal letters;
- transcribed stenographic notes or recording tapes;
- vendor catalogs or product literature;
- mailing lists;
- published directories, staff listings, or rosters.

2.4 WHAT ARE PERSONAL PAPERS?

Public records belong to the office or agency, not to the individual. However, many State officials and employees also keep personal papers in their offices. These papers are of a private or unofficial character which ordinarily pertain only to an individual's personal affairs and will not affect the conduct of agency business. Examples include:

- diaries, journals, or personal notes which are neither prepared on State time using State equipment nor are prepared in the course of transacting government business;
- materials pertaining to an individual's outside business pursuits, volunteer work, union activities, or political associations;
- reference materials accumulated prior to assuming office.

Personal papers that are maintained in a State office must be filed separately from official agency records in order to avoid confusion and the inadvertent destruction or removal of official records.

Government officials may donate their personal papers, after leaving office, to a university archives, local historical society, or other manuscript repository. In that way, they ensure that a record of their individual accomplishments is preserved. Also they add to the sources researchers will use in later years to describe the historical significance of the administration during their tenure of office.

2.5 WHAT ARE CONFIDENTIAL RECORDS?

Any person has a right to inspect public records unless that record is identified by statute or regulation as confidential (AS 09.25.120 and 6 AAC 95.010). Access to records stored in the Records Center is controlled by the agency of origin within the bounds of the Open Records Act. Confidential records are usually identified on the agency's records retention schedule.

3 THE RECORDS RETENTION SCHEDULE

3.1 WHAT IS A RECORDS RETENTION SCHEDULE?

A records retention schedule is a concise official guide for the management of an agency's information resources or records. It lists and describes the kinds of records (called the record series) that are created or maintained by the agency. Specific time periods are given for the retention of each records series.

The retention period is divided into the active or current period in the office and the non-current period in the Records Center. The final disposition for each record series is also described. Final disposition may be either actual destruction **or** permanent preservation in the State Archives.

Retention schedules are approved by the Agency Head, Attorney General, Commissioner of the Department of Administration, and the State Archivist.

3.2 STEPS IN ESTABLISHING A RETENTION SCHEDULE

- **Records Inventory:** find out what records exist.
- **Records Analysis:** determine the administrative, fiscal, and legal value of each record series.
- **Archival Appraisal:** determine the historical value of each record series.
- **Equate Values With Time:** establish the overall retention period for each record series.
- **Draft the Schedule:** combine all agency records on a draft schedule.
- **Final Approval:** submit the final schedule for approval.

3.3 THE RECORDS INVENTORY

The first step in establishing a records retention schedule and thereby gaining control over records is a physical inventory of all records, whether active or inactive. No decisions can be made about what to do with an agency's records until the agency knows what records it has.

The Archives & Records Management Services provides agencies with a Records Inventory & Analysis Worksheet (see figure 1) that is used to document information about each record series in the agency. The Departmental Records Officer should coordinate the inventory activity and assign the data gathering task to agency staff.

Records Analysts and Archivists are available to provide technical assistance and training in the inventory process.

The basic inventory steps are described below:

- interview the agency head or designee in order to gain top management support for the project as well as to get a broad understanding of the agency organization and functions;
- review the pertinent legislation and regulations of the agency;
- gather organization charts, mission statements, or functional descriptions; (the structure, levels of authority, and program responsibilities of the agency need to be understood as they will give clues to the existence and location of records.)
- collect and review agency file outlines, filing plans or guides;
- make a preliminary walk-thru to briefly identify all record-keeping sites and identify potential problem areas;
- complete a Records Inventory and Analysis Worksheet for each records series to be scheduled;

3.4 THE RECORD SERIES

The record series is the basic unit that is inventoried and then scheduled. Agency records are grouped together physically in an office because they consist of the same forms; relate to the same project, subject or function; result from the same activity; or share some other similar characteristic. This kind of grouping is called a **record series.** The inventory documents information about each record series, not about each file folder within a series.

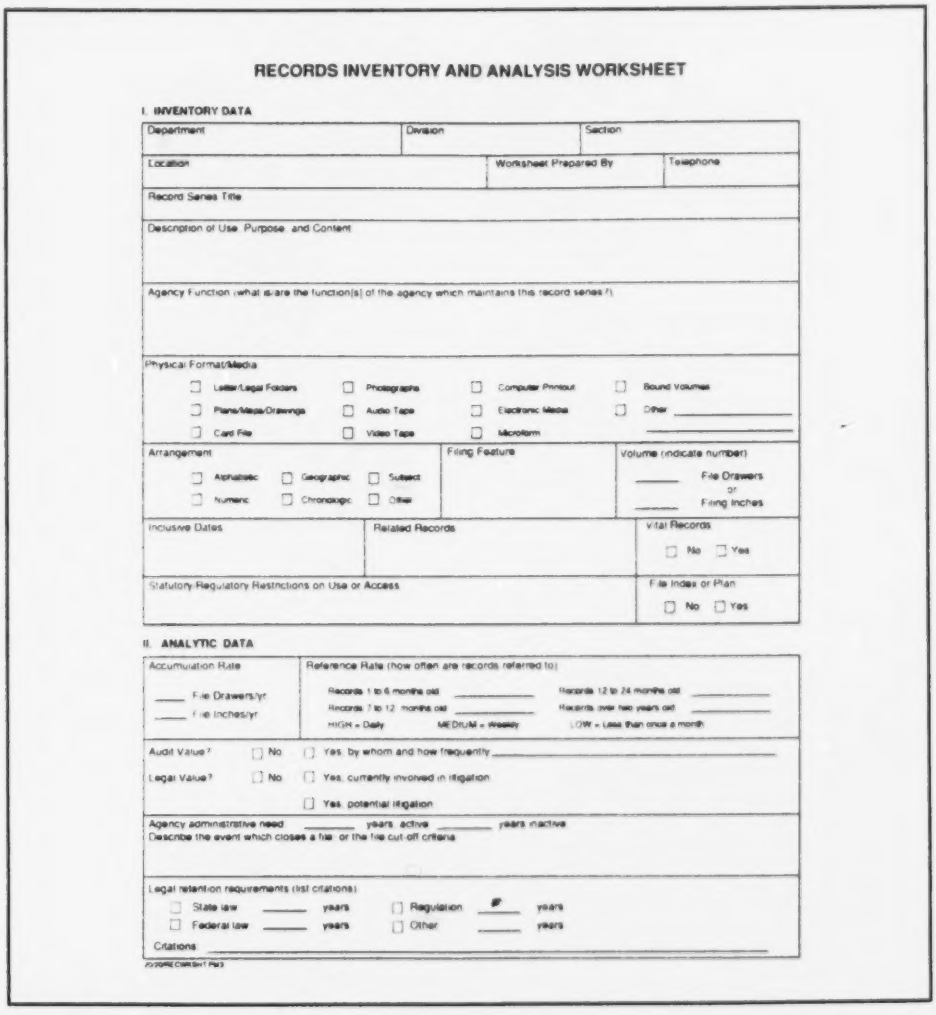
Some examples of record series are:

- employee or personnel records;
- grant files;
- reading files;
- subject files; and,
- vendor payment files.

3.5 THE RECORDS INVENTORY & ANALYSIS WORKSHEET

Information collected during the records inventory and analysis is used to determine retention periods. To create a useful and meaningful retention schedule, a Records Inventory & Analysis Worksheet (see figure 1) is completed for each series.

The inventory data section provides the basic facts about the series. The analytic data section provides more subjective information that the agency and the Records Analyst or Archivist will use to develop appropriate retention periods.



RECORDS INVENTORY AND ANALYSIS WORKSHEET

I. INVENTORY DATA

Department	Division	Section
Location	Worksheet Prepared By	Telephone

Record Series Title

Description of Use, Purpose, and Content

Agency Function (what is-are the function(s) of the agency which maintains this record series?)

Physical Format/Media

☐ Letter/Legal Folders ☐ Photographs ☐ Computer Printout ☐ Bound Volumes
☐ Plans/Maps/Drawings ☐ Audio Tape ☐ Electronic Media ☐ Other _____
☐ Card File ☐ Video Tape ☐ Microform

Arrangement	Filing Feature	Volume (indicate number)
☐ Alphabetic ☐ Geographic ☐ Subject ☐ Numeric ☐ Chronologic ☐ Other		_____ File Drawers or _____ Filing Inches

Inclusive Dates	Related Records	Vital Records
		☐ No ☐ Yes

Statutory-Regulatory Restrictions on Use or Access — File Index or Plan: ☐ No ☐ Yes

II. ANALYTIC DATA

Accumulation Rate: _____ File Drawers/yr; _____ File Inches/yr

Reference Rate (how often are records referred to):
Records 1 to 6 months old _____ Records 12 to 24 months old _____
Records 7 to 12 months old _____ Records over two years old _____
HIGH = Daily MEDIUM = Weekly LOW = Less than once a month

Audit Value? ☐ No ☐ Yes, by whom and how frequently _____

Legal Value? ☐ No ☐ Yes, currently involved in litigation
☐ Yes, potential litigation

Agency administrative need _____ years, active _____ years inactive
Describe the event which closes a file or the file cut-off criteria

Legal retention requirements (list citations):
☐ State law _____ years ☐ Regulation _____ years
☐ Federal law _____ years ☐ Other _____ years
Citations _____

Figure 1

A. INVENTORY DATA SECTION

1) **Agency Identification:** Enter the name of the Department, Division, and Section that is being inventoried. Also enter the location where the series is found (building, room number, and city).

2) **Prepared By:** Enter the name and telephone number of the person completing the worksheet.

3) **Series Title:** Enter the name of the series. Be specific and concise, the use of such vague descriptive terms as "general files," "misc. correspondence," or "case files" should be avoided.

4) **Description of Use, Purpose & Content:** Enter a clear description of the series. The description should give the functional purpose for the series and state the agency activities that are documented by the series. Include the file type such as case file, working papers, reference files, or correspondence files. For case files, include a description of the typical file contents. For correspondence and reading files indicate those agency officials whose work-product is included in the file. Examples of records series titles and descriptions are found **Appendix A**.

5) **Agency Function:** Enter a brief description of the major programs or activities of the agency that maintains the series.

6) **Physical Format:** Indicate the appropriate category. If other, please specify.

7) **Arrangement:** Indicate the appropriate category or note if there is no apparent arrangement for the series.

8) **Filing Feature:** Indicate the filing feature or internal arrangement of the series. Some examples of filing features are "alphabetically by employee name" and "numerically by permit number." The filing feature further explains the arrangement.

9) **Volume:** Indicate the number of file drawers or filing inches for the series. Use fractions where appropriate. Precise accuracy in volume is not necessary.

10) **Inclusive Dates:** Enter the overall dates covered by the series. A broad range of dates is acceptable. Express the range of dates in terms of either fiscal or calendar years. If the dates are computed on some other basis, please explain (i.e., the school year running from September to June or the federal fiscal year running from November to October).

11) **Related Records:** Note the name of the agency or office maintaining records that may contain similar information either as a true physical duplication, in summarized form, or as an electronic record, such as a database. Because the information contained in paper records is often also available in electronic form, the paper records may have shorter retention periods than would be the case if they were the only documentary source of the information.

12) **Vital Records:** Indicate if the series is an agency vital record. See **Section 8.5** for a more detailed discussion of vital records protection methods.

13) **Restrictions on Use or Access:** Note any statutory or regulatory citations restricting the use of or access to the series. Records that are confidential must be covered by a specific law or regulation.

14) **File Index or Plan:** Indicate if the series is included in an agency file index, file plan, or file outline. Attach a copy of the index or plan.

B. ANALYTIC DATA SECTION

1) **Accumulation Rate:** Indicate the growth rate for the series expressed in terms of the number of file drawers or file inches per year. This is an estimate for future growth based on the actual past volume.

2) **Reference Rate:** Indicate how frequently the series is used in terms of high (daily use), medium (weekly use), or low (monthly use). This information will help determine when to transfer files to off-site storage.

3) **Audit Value:** Indicate if the series has audit value. For records used in an audit note what kind of audit (state, federal, internal, etc.) and the frequency of the audit activity.

4) **Legal Value:** Indicate if the record series has actual legal value (involved in current litigation) or potential legal value.

5) **Agency Administrative Need:** Note the number of years that a file within the series will be active and inactive. Estimate or express in terms of an event such as termination employment or completion of the project).

3.6 ANALYSIS OF RECORD VALUES

Retention periods can not be established until a determination is made of the total value for each record series. This process is called records analysis. A record may have more than one value and those values may be either concurrent or consecutive.

Records analysis is the joint responsibility of the agency and the Archives & Records Management Services' staff. The analysis is based on information collected during the records inventory as well as from a review of agency regulations and related statutes.

As each record series is analyzed, the administrative, fiscal, and legal values are determined. A specific time period is chosen that will meet all of these combined values.

- **Administrative Value:** Records have administrative value as long as they meet current agency operational needs. Many records have administrative value for only a short period because they are duplicated elsewhere in the bureaucracy, summarized at a higher agency level, or represent temporary controls such as logs and tickler files. The administrative value of a record often ends after some event or transaction such as the termination of employment or final payment on a contract.

- **Fiscal Value:** Records have fiscal value that document financial transactions or substantiate an audit. The time period that a record has fiscal value may be dependant upon the audit cycle or upon statutes of limitation. For example, Alaska's statute of limitation on contractual actions is six years and this determines the retention period for original financial records. Records that document federally funded programs have fiscal value for at least three years when they may be required for a federal audit.

- **Legal Value:** Records have legal value that document the rights of citizens or employees and protect the State's interest in contractual obligations or other types of litigation such as oil and gas and environmental disputes. The legal value of a record may cease after the expiration of the statute of limitations on legal actions. Records whose retention is specified in a State or federal statute or regulation have legal value for the specified time period.

3.7 ARCHIVAL APPRAISAL: DETERMINING PERMANENT VALUE

Determination of the historical or permanent value of records is basic to any archives and records management program. Deciding if a record series has historical value is the responsibility of the State Archivist. Archival appraisal is the last step in establishing a retention period for a record series.

Those records that have permanent or historical value document the activities of an agency, the state, or its people. Records that contain evidence of an agency's origins or relate to its policies and procedures also have historical or permanent value. Some examples of record series that usually have permanent value are:

- minutes of State boards, commissions, or councils;

- correspondence and subject files of the Agency Head; and,

- agency policies, directives, and procedures files.

Archival appraisal is not a task that can be reduced to a formula, checklist, or other mechanical operation. The success of the appraisal depends upon knowledge of agency activities and how those activities are documented statewide as well as upon an appreciation of the function of archives and the needs of future researchers.

3.8 EQUATING VALUE WITH TIME: ESTABLISHING THE RETENTION PERIOD

The time period that will meet the combined administrative, fiscal, and legal values will determine the basic retention period for the record series. In addition, archival appraisal may result in a determination of permanent value for some series.

A limit is recommended for the retention of temporary records. No record series should be retained more than seven years without justification from the Departmental Records Officer. This limitation is based on the recognition that most records series in State government are already scheduled for less than seven years and that reference needs generally do not warrant a longer retention period.

Justification for a retention period longer than seven years may be based on evidence of continuing administrative need, specific statutory requirements, or the likelihood of litigation.

Retention periods are expressed in numbers of years in addition to the year of creation for the series. For example, an agency's "Reading File" may be scheduled for a two year retention in the office with destruction after two years. This means that the 1990 file should be kept for two years and destroyed at the end of 1992.

A fixed retention period necessitates a filing practice known as file cut-off that is discussed in **Section 3.14 (5).**

At times, the retention period is contingent upon some event. This event will be described in the "Remarks" column of the schedule. Examples of contingent events are termination of employment, completion of the project, submission of the final billing, and resolution of the litigation or appeal.

3.9 DRAFTING THE RETENTION SCHEDULE

The Records Analyst or Archivist prepares a draft retention schedule for agency review and approval. The schedule consolidates the inventory and analytic data into a concise guideline for the management of that agency's records.

The draft schedule is reviewed by agency program managers and the agency head. After any problem areas have been resolved, the Records Analyst or Archivist will prepare the final schedule for signatures.

3.10 APPROVING THE FINAL SCHEDULE

The final retention schedule is signed (approved) by the agency head who ensures that all administrative values are met. By approving the schedule, the agency agrees to abide by its provisions and to adopt the schedule as the basis for the orderly management of agency records.

The schedule is also signed (approved) by the Attorney General, who ensures that all legal values are met; and by the Commissioner of the Department Administration, who ensures that all fiscal values are met. The State Archivist signs (approves) the final schedule to ensure that all historical values are met as well as overall requirements for efficient records management.

Once signed and approved, the agency may proceed to transfer records to the Records Center or the Archives; or to dispose of records. No further authorization is needed for destruction of agency records in accordance with an approved retention schedule.

3.11 HOW TO USE THE RETENTION SCHEDULE

The major purpose of the records retention schedule is to establish a pattern for the transfer and/or disposition of agency records on a regular and continuing basis. Studies have shown that an agency can reduce its records volume by as much as 60 percent after first using a retention schedule. While such dramatic results will not happen every year, a retention schedule **can** be a significant tool in combating the increasing volume of agency records.

A records retention schedule is of little value unless it is applied regularly to the agency's records. If, after an initial house-cleaning, the schedule is ignored, then the results will be at best disappointing and the problem of accumulating records will remain unsolved.

Here are some points to remember in using the schedule:

1) Become familiar with the record series and descriptions. Know which records can be transferred and which can be discarded and when. Become familiar with the General Administrative Records Retention Schedules.

2) Know the current audit and litigation situation in the agency. Do not transfer or otherwise dispose of records that may be needed for a current audit or legal case.

3) Set aside a specific time each year to transfer or to dispose of records. Some agencies with high volumes of records may do this more frequently.

4) Hold purging to a minimum. A paper-by-paper review of each file is costly and may not result in any significant volume reduction. If the agency has established a regular procedure for separation of file contents, such as keeping the transitory documents on one side of the folder, purging before transfer may be more practical. Records destined for the State Archives should not be purged, weeded, or reorganized.

5) Establish a cut-off date for subject files such as the beginning of a calendar or fiscal year. While the subjects themselves may be of continuing interest to the agency, the contents of the folders are not. Reference to materials that are over five years old is rare. Agencies should periodically begin a new set of subject folders so that the older folders may be transferred to off-site storage or destroyed.

3.12 SCHEDULE REVIEW AND REVISION

Keeping an agency's retention schedule current is an important responsibility. The schedule is a snapshot of an agency's records management practices at a particular point in time, but State agencies are dynamic. Conditions within an agency may change with respect to:

- office space available for records;
- discontinuance of programs and responsibilities;
- assumption of new programs and responsibilities;
- changes in the record media (i.e., conversion to microfilm or electronic media);
- internal reorganizations;
- changes in paper flow within the agency; and,
- changes in agency administration and management policies.

An annual review of the schedule is essential. Suggestions for additions, deletions, and changes should be forwarded through the Departmental Records Officer to the Archives & Records Management Services. Reducing retention periods can have a significant impact on space availability in the office and Records Center.

3.13 THE GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULES

The Archives and Records Management Services establishes the General Administrative Records Retention Schedules. These general schedules act as a guide for the retention of records of a purely administrative nature that are found in most State agencies.

Records related to such common administrative functions as personnel management, finance and accounting, budget, travel, and purchasing are covered by the General Administrative Records Retention Schedules (see **Appendix B**).

The nature and function of many of these common administrative records are prescribed by a specific State agency. For example, the Department of Administration establishes policy and procedures for the personnel, finance, and purchasing functions; while the Office of the Governor, Budget and Management (OMB) establishes policy for the budget function. Records related to these functions have the same values regardless of the agency that created them, and the general schedule retention periods are therefore valid for all agencies.

The General Administrative Records Retention Schedules are intended to act as a supplement to an agency's own retention schedule.

3.14 WHAT DOES ARCHIVAL REVIEW (AR) MEAN ON A SCHEDULE?

At the time a retention schedule is approved, the State Archivist may not be able to make a definite determination of historical value for a record series. For some series, it may be suspected that the series eventually will have historical value. In these cases, the term Archival Review **(AR)** is used on the schedule. For other series, Archival Review may mean that a sampling or some weeding may be done before permanent preservation.

A record series scheduled for archival review has **potential** permanent value and may not be discarded until reviewed by the State Archivist. The Records Disposition Authorization form is the document that initiates this review process (see **Section 6.2**).

4 TRANSFERRING RECORDS TO THE RECORDS CENTER

4.1 WHICH RECORDS TO TRANSFER AND WHEN TO TRANSFER THEM

The agency's records retention schedule is the basic guide for the routine transfer of records to the Records Center. The Records Center will accept scheduled records for temporary storage for no less than one year.

Agencies may use either the State Records Center in Juneau or the services of the contract Records Center in Anchorage. The same procedures are followed in either case. The contract Records Center will charge monthly for each box in storage as well as for each file or box retrieved. See **Appendix F** for the contract records center fee schedule.

The retention schedule lists the various types of records kept by the agency and indicates a time period for office retention and a time period for retention in the Records Center. The total retention period is the office time period plus the Records Center time period. The retention schedule also indicates whether records are maintained on a calendar or fiscal year basis. The agency should use the total retention period to calculate the final disposition date for a record series.

4.2 RECORDS STORAGE BOXES

The Records Center uses standard one cubic foot (12" x 15" x 10") records storage cartons. Each box will hold about one-half a file drawer of records. These cartons are specifically designed to hold either letter or legal sized folders as well as microfilm reels, diskettes, or other media. The cartons are sturdy double-walled corrugated containers that exactly fit the shelving units in the Records Center. Contact the Archives & Records Management Services regarding special arrangements for oversized materials or special carton needs.

Cartons are provided to agencies for a minimal cost plus freight to agencies outside Juneau. To order cartons, submit a Request for Empty Records Storage Boxes (form 02-572, figure 2) signed by the appropriate purchasing authority. All requests must include financial coding. Cartons may also be purchased from the contract Records Center in Anchorage (see **Appendix F**).

The cartons are delivered unassembled (see figure 3 for assembly instructions). Cartons that are assembled improperly will not be accepted for storage. Records shipped in nonstandard cartons will be reboxed at the Records Center and the agency billed for the number of boxes used.

DEPARTMENT OF EDUCATION
DIVISION OF LIBRARIES & ARCHIVES
ARCHIVES & RECORDS MGT.
141 WILLOUGHBY AVE.
JUNEAU, AK 99801-1720
465-2270 / MS 0207

NO.:

REQUEST FOR EMPTY RECORD STORAGE BOXES

DEPARTMENT	DIVISION	SECTION OR UNIT

DELIVERY ADDRESS	SHIPPING ADDRESS

REQUESTED BY	TELEPHONE	DATE

NUMBER OF BOXES REQUESTED	TO DETERMINE NUMBER OF BOXES NEEDED, MULTIPLY THE NUMBER OF FILE DRAWERS TO BE TRANSFERRED BY 2

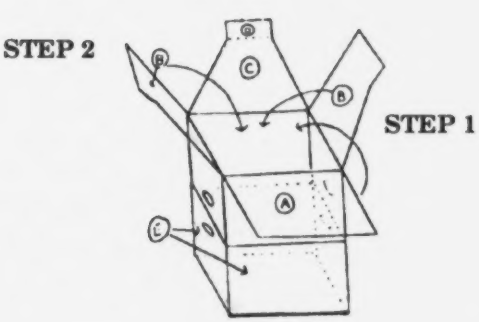
FINANCIAL CODING	PURCHASING AUTHORITY'S SIGNATURE

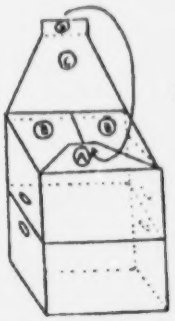
BILLING AMOUNT	
$	

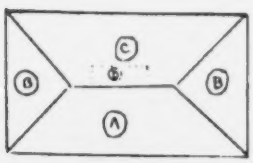
02-572 (Rev. 1/89)

Figure 2

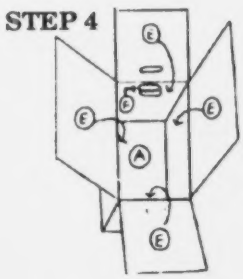
RECORDS CENTER BOX ASSEMBLY INSTRUCTIONS







DRAWING 1



DRAWING 2

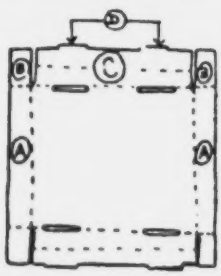
STEP 1 = Square up box and fold flap "A" to the inside and slightly below edges.

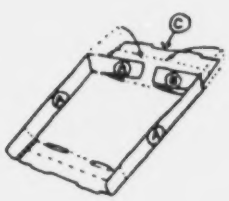
STEP 2 = Fold flaps "B" in towards center.

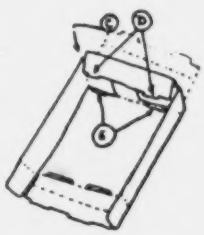
STEP 3 = Fold flap "C" down over "B" and tuck the small flap "D" underneath to form a firm flat bottom (see drawing 1).

STEP 4 = Turn box upright and push down on inside bottom flap "A." Fold flaps "E" inside to form the double-walled box. Fold the small flap "F" to the inside to form the handle hole (see drawing 2).

NOTE: **Do not write or mark on the boxes other than an agency box number in pencil below the handle hole. Do not overpack the boxes. Leave about one free inch of space in each box.**







LID INSTRUCTIONS

STEP 5 = Place lid perforatee (or white) side up.

STEP 6 = Fold flaps "A" up and fold flaps "B" in toward center (90 degrees).

STEP 7 = Fold flap "C" up and over flaps "B" tucking tabs "D" into slots "E."

STEP 8 = Repeat on other side to complete lid assembly.

Figure 3 17

STATE OF ALASKA
DEPARTMENT OF EDUCATION
ARCHIVES & RECORDS MGT. SVC.
141 Willoughby Ave.
Juneau, AK 99801-1720
(907) 465-2271

RECORDS TRANSFER LIST

(USE TYPEWRITER ONLY)

FOR RECORDS CENTER USE ONLY
Accession No.
Cubic Feet

1. Department	Dept. No.	2. Division	3. Section or Unit
4. Street Address or Building Name, Room Number		Mailing Address	City State ZIP Code
5. Signature of Records Officer		6. Custodian of Records (Name & Title)	7. Phone
8. Access to Records is ☐ Restricted to (Position Title) _____ ☐ Restricted to Personnel in the above-named Division **NOTE:** Additional access is by written authorization of the Division Director or Designee.			9. Date 10. Page 1 of

11. Record Series Title and Desctiption (Use Series Title as Found on the Retention Schedule) (Attach Detailed Listings if Required)	12. Inclusive Dates	13. Retention Schedule & Item No.	14. Disposition Date	Box Numbers	
				15. Agency	Records Ctr.

02-506 (6/90) Use continuation sheet 02-506A for additional listings.

Figure 4

4.3 PACKING THE BOXES

Transfer folders from the agency's file equipment to the storage carton, leaving about **one inch of free space** in the carton to aid future file retrieval.

Remove all "Pendaflex" or hanging files, they prevent the box lids from fitting securely and may prevent the box from fitting on the Records Center shelves.

Place three-ring binders flat in the box, alternating spine positions. Putting binders in boxes in a spine-up position prevents the lids from fitting securely. If possible, remove the contents from the binders and transfer to standard file folders.

Completed out-cards should be used for folders out-of-file at the time of transfer. Be sure to leave space in the box if these missing folders will be sent to the Records Center for interfiling at a later date.

Over-filled cartons will not be accepted for storage because they will not fit on the shelving units in the Records Center.

A single carton may contain more than one record series, but they should all have the same disposition date.

Folders or documents in the carton must be in a retrievable order. If the file arrangement or pattern is not readily apparent, an explanation of the system should be included in the box or attached to the Records Transfer List.

4.4 NUMBERING THE BOXES

Since the Records Center receives boxes from many different agencies at the same time, agencies must uniquely number each box in a shipment and write that number on the Records Transfer List under the column for "Agency Box Number." These are temporary box numbers used by the Records Center staff in sorting the shipment before assignment of the Records Center Location Number. Do not repeat a box number within a single shipment.

The following type of temporary box number is recommended: **90-1** (this would indicate the first box sent for storage in FY 90). Subsequent boxes in the same or following shipments are numbered consecutively, **90-2, 90-3, 90-4,** etc.

For boxes being shipped from out-of-town agencies, we recommend the following type of temporary box number: **90-1 of 10,** 90-2 of 10, etc.

4.5 THE RECORDS TRANSFER LIST

The Records Transfer List (form 02-506, figure 4) provides the Records Center and the agency with box content information sufficiently detailed to assist future file retrieval. It also transfers physical custody of the records from the agency to the Records Center.

The agency prepares a Records Transfer List (RTL) for each shipment of records. The RTL identifies the agency, lists any restrictions on use or access to the records, briefly identifies the contents of each box, inclusive dates, the corresponding retention schedule/ item numbers, disposition dates, and the unique temporary agency assigned box number. Up to 20 boxes can be listed on one page and continuation pages (form 02-506A) are available.

The RTL must be signed by the Departmental Records Officer before it is submitted to the Archives & Records Management Service for approval. When the RTL is completed and approved, the Records Center staff will pick up boxes for Juneau based agencies according to a weekly work schedule.

Out-of-town agencies will be notified to ship records and be given the appropriate shipping address. Records must be shipped **prepaid** and agencies are responsible for all freight or postage costs. The contract Records Center in Anchorage will arrange to pick-up records for storage from Anchorage based agencies.

The Records Center staff will assign an accession number and a Records Center Location Number (box number). After processing, copies of the RTL will be returned to the agency custodian of the records and the Departmental Records Officer.

4.6 DETAILED FOLDER LISTINGS - FILE RETRIEVAL AIDS

Detailed folder listings and supplemental indexes to box contents can often aid in future folder retrieval, but the Records Center does **not** require any agency to create detailed folder title listings for each box of records. This effort is optional for the transferring agency. It is the agency's responsibility to maintain sufficiently detailed records of box contents to allow for easy retrieval of a particular folder.

If subject files are well organized, simply list the title of the first and last folders in each box and attach a copy of the file index or outline. This information will enable the agency to determine the Records Center box number for future file retrieval.

Closed case files, however, pose particular retrieval problems for agencies. Each year an agency may transfer a group of closed case files to the Records Center for storage. Each group is arranged by case file name or number. The Records Center does not merge closed case files into one large sequence. Maintaining detailed box contents listings without merging them means that an agency will have to search through multiple listings in order to locate a particular case file. Locating a box number for a particular case file is a two step process. Not only does the agency need to know the case name/number, but also the year of closure or date of transfer to storage. These two pieces of information will allow them to locate the correct RTL and box number.

Limited staff in the Records Center precludes searching multiple boxes. It is the agency's responsibility to track box contents. It is the Records Center's responsibility to track boxes.

Many agencies find their personal computers invaluable aids in tracking box contents. Detailed listings can be merged with a word processing program or simple databases can be created. Some agencies maintain mainframe or PC based information systems that can be expanded to include records center box numbers as a field. Agencies are urged to contact the Archives & Records Management Services for assistance and advice about techniques for efficient file retrieval.

4.7 CONTRACT RECORDS STORAGE SERVICES IN ANCHORAGE

The Department of Administration, Division of General Services, has established a contract award for records storage and retrieval services. See **Appendix F** for the contract fee schedule. The contractor is located in Anchorage and provides the following services:

- Standard one-cubic foot records storage cartons;
- Pick-up and delivery of files and boxes;
- Retrieval of individual files or entire boxes;
- Refiling of files and boxes;
- Hardcopy record storage and electronic data storage;
- Certified destruction of records;
- Preparation of stored boxes for transmittal to the State Records Center or State Archives; and,
- Computerized inventory (index of client holdings.

The contractor will accept records for storage only with the prior approval of the Archives & Records Management Services. Client agencies must submit Records Transfer Lists to ARMS for approval. The contract records center may be used by any State agency regardless of their location. Client agencies are responsible for freight costs associated with shipping records to the contract records center as well as for all storage and retrieval costs.

5 RETRIEVING RECORDS FROM THE RECORDS CENTER

5.1 OWNERSHIP OF STORED RECORDS

All records created or maintained by a State agency are the property of the State of Alaska. The agency is the legal custodian of its records and can control, within certain statutory and regulatory provisions, access to these records. When records are transferred to the Records Center for storage, the agency retains all legal custody. The Records Center only has physical custody of the records.

5.2 ACCESS TO STORED RECORDS

Since the transferring agency retains all legal custody for stored records, the Records Center will grant access only to the transferring agency staff as designated on the RTL. Access to records by non-agency staff or the general public will be granted only with written authorization from the transferring agency. A Records Access Authorization (form 02-595, figure 5) is provided for this purpose.

5.3 FILE OR BOX RETRIEVAL

Agencies should refer to their Records Transfer Lists in order to determine the correct Records Center Location Number (the box number). Submit a Records Reference Request (form 02-504, figure 6) to the Records Center at 141 Willoughby Avenue in Juneau **(Mailstop 0207)** or send the request via the State's mainframe **PROFS** system. The Archives & Records Management Services **PROFS** account number is **EASC803.**

Telephone requests are not accepted.

Walk-in requests for a small number of boxes can be handled by the Records Center staff, but requests for over five boxes will require advance notice. Because the State Records Center has two storage sites, the boxes for one request may be in two different locations. Walk-in requests for boxes stored at the alternate site can not be handled immediately, allow two days to process these requests.

DEPARTMENT OF EDUCATION
DIVISION OF LIBRARIES & ARCHIVES
ARCHIVES & RECORDS MGT.
141 WILLOUGHBY AVE.
JUNEAU, AK 99801-1720
465-2270 / MS 0207

RECORDS ACCESS AUTHORIZATION

Records stored in the State Records Center are in the Center's physical custody only. The transferring agency retains legal custody and thus controls access to records. Specific access authorization to all records, including nonconfidential, open records, must be obtained from the legal custodian before the Center can release any record to any person not employed by the transferring agency.

Name of Person Authorized	Representing (Name of Firm or Agency)	
Address	Telephone	Date
Records Requested (Box Numbers and File Title)		

The above is authorized access to this agency's records, currently in the physical custody of the State Records Center, as follows:

Type of Access: ☐ Review Records Only ☐ Review and Photocopy Records ☐ Temporary Withdrawal from Center

Restrictions: ☐ None ☐ Other: (Specify) _____

Duration of Authorization: ☐ Unlimited ☐ Until (Date) _____ ☐ Other: (Specify) _____

Signature of Division Director or Designee (Record's Legal Custodian)	Department	Division
Name and Title	Telephone	Date

02-595 (Rev. 1/89)

Figure 5

BEST COPY AVAILABLE

DEPARTMENT OF EDUCATION
ARCHIVES AND RECORDS
MANAGEMENT SERVICES
141 WILLOUGHBY AVENUE
JUNEAU, AK 99811-1720

RECORDS REFERENCE REQUEST

☐ Records Center
465-2271

☐ Records Center Annex
465-4630

REQUESTED BY	TELEPHONE	DATE	DEPT. NO.
DEPARTMENT	DIVISION/SECTION		
LOCATION OR MAILING ADDRESS			

SERVICE REQUESTED

☐ Temporary Withdrawal
☐ Review at Archives & Records Center
☐ Permanent Withdrawal
☐ Other _____

☐ Information from Records
☐ Photocopies
☐ Microfilm Duplication

CODE	CODE: A = Record Attached B = Not Located	ITEMS(S) REQUESTED	LOCATION NO.

_____ Taken by
_____ Pulled By
_____ No. Photo Copies Made
_____ Time Expended
_____ Found
_____ Not Found
_____ Total

The above records were received by

_____ Signature _____ Date

The above records were returned to Archives and Records and received by

_____ Initial _____ Date

02-504 (Rev. 1/91)
Page 18

Figure 6

The contract Records Center in Anchorage provides either file or box retrieval services for a fee.

The following information is needed to successfully retrieve a file or box:

- name of requestor, telephone number, and physical address;
- requestor's Department and Division/Section;
- type of service required (temporary withdrawal, permanent withdrawal, review at the Records Center);
- file name or number and date; and,
- Records Center Location Number (box number).

The Records Center staff puts out-cards in the box for temporary file withdrawals and notes the box number on the outside of the folder. Files or boxes that are temporarily withdrawn should be returned within two weeks if possible.

The Records Center staff delivers requested files or boxes according to a weekly work schedule. Be sure to allow at least two days for processing records requests. Files requested by out-of-town agencies are delivered to the agency's Juneau office for mailing.

5.4 DETERMINING THE RECORDS CENTER LOCATION

The Archives & Records Management Services maintains two sites for the storage of records. The downtown site is located at 141 Willoughby Avenue, next door to the State Office Building. Boxes stored at this site have a unique location number. Some examples of downtown box location numbers are **12A25** and **3G59**. The first digits indicate the row number, the letter indicates the section and the final digits indicate the shelf position.

Box location numbers at the Records Center Annex located at 3151 Channel Drive all begin with the letter **"J."** An example is **J25387**. Since the alternate site is not staffed at all times, agencies should plan on at least a two day turnaround time for box requests. Walk-in requests for **"J"** boxes can not be immediately filled.

The contract Records Center in Anchorage has its own unique box numbering plan as well as a computer inventory/tracking system.

5.5 RETURNING FILES TO THE RECORDS CENTER

After the agency completes work on a file temporarily withdrawn from the Records Center, they should call the Center to arrange a pick-up. Files should **never** be returned via the State Central Mail System. Files from agencies outside Juneau may be returned via U.S. Postal Service, using certified mail.

Files which have "grown" during the check-out period may not fit back into the original box. Agencies may be asked to permanently withdraw these files and transfer them with a later shipment. A cross-reference note should be made on both the original Records Transfer List and the new RTL.

Files or boxes that were checked-out permanently may not be returned to the Records Center. They must be re-transferred.

5.6 INTERFILES

The purpose of the Records Center is to store **inactive** records. The Records Center is not staffed to a level which would support interfiling of documents into stored records. As a general rule, the Records Center will not accept any documents for interfiling. Here are some alternatives to help agencies solve the interfile problem:

1) Agencies should closely evaluate their retention schedule. Perhaps the records are being transferred to the Records Center too soon.

2) Agency staff can do the interfiling in the Records Center. If there are less than ten boxes involved, they may be brought to the Search Room. If there are more than ten boxes, agency staff will be allowed into the Stack Area to pull the boxes and do the interfiling. Boxes weigh an average of 35 pounds and working on ladders is often required.

3) The group of boxes can be returned to the agency for further office retention. They can be re-transferred at a later date when they are truly inactive.

4) Agencies can closely evaluate the interfile documents and determine their actual value weighed against the cost and effort of interfiling.

6. DISPOSITION OF RECORDS

6.1 WHEN CAN RECORDS BE DESTROYED?

The records retention schedule establishes the guidelines for the retention (in the office and/or the Records Center) and the final disposition of all records created or maintained by an agency. Final disposition is either actual destruction (discussed in this section) or transfer to the State Archives for permanent preservation (see **Section 7**).

Agencies may destroy scheduled records in their offices without further authorization, the retention schedule serves as continuing authorization.

Agencies may destroy unscheduled records only with the written authorization of the Attorney General, the Commissioner of the Department of Administration, and the State Archivist.

6.2 THE RECORDS DISPOSITION AUTHORIZATION

The Records Disposition Authorization (RDA) (form 02-507, figure 7) serves three purposes:

- It is the agency's administrative mechanism for requesting authority to destroy unscheduled records;
- It is the method used by the Records Center to seek agency approval for the destruction of stored records; and
- It documents the transfer of legal custody of records selected for permanent preservation to the State Archives.

The State Archivist has the statutory responsibility to review all Records Disposition Authorizations and make a determination on the historical value of the described records.

6.3 HOW DOES THE RECORDS CENTER DESTROY RECORDS?

The purpose of the Records Center is to provide temporary storage for inactive agency records. No record is accepted for storage in the Records Center unless a disposition date is specified on the Records Transfer List. A suspense file is maintained on each carton in storage. When the disposition date arrives, the Records Center prepares an RDA and submits it to the agency for approval.

The agency is responsible for making a determination of continued administrative need as well as continued audit or legal need. If there is a justified continuing need for the records, the agency should return the RDA **UNSIGNED** along with an explanatory memo. If there is no continuing need, the Agency Head and the Departmental Records Officer sign the RDA. The State Archivist reviews the RDA and, if the records are determined to have no historical value, the Records Center proceeds to destroy the records.

Those records designated confidential by statute or regulation are destroyed in a manner that will protect confidentiality.

The bottom portion of the RDA serves as a notification and verification of actual records destruction. The agency and Departmental Records Officer are sent a copy of the completed RDA.

STATE OF ALASKA
DEPARTMENT OF EDUCATION
ARCHIVES & RECORDS MGT
141 WILLOUGHBY AVE.
JUNEAU, AK 99801-1720
(907) 465-2271

RECORDS DISPOSITION AUTHORIZATION

ARCHIVES & RECORDS USE ONLY
Disposition Authorization Number

(USE TYPEWRITER ONLY)

1. Department	Dept.No.	2. Division	3. Section or Unit	
4. Location of Records. (Street Address, Building Name, Room Number)		Person to Contact	Phone	Page 1 of

5. The records described below are authorized for disposition by destruction and/or transfer to the State Archives in accordance with AS 40.21.030(b)(5) or (10). These records:

- ☐ Have complied with approved Records Retention Schedule No. _____
- ☐ Have no further administrative, legal, fiscal, or audit values for this agency. (Check this box for unscheduled records only.)
- ☐ Have been microfilmed and the film has been verified.

6. Confidentiality restrictions require special handling for the destruction of these records.

☐ NO ☐ YES Cite law or regulation which places confidentiality restriction on these records:

7. Access to these records if transferred to the State Archives is:

☐ Unrestricted (Open to the public) ☐ Restricted, cite law or regulation:

8. Retention Schedule Item No.	9. Record Series Title & Description (Include beginning and ending date and, if applicable, form or report number. Use the same record series title as on the Record's Retention Schedule. Describe completely any unscheduled record.)	10. Transfer List No.	11. Box Number(s)

(Use Continuation Sheet, 02-507A for additional listings)

12. Number of Containers:

APPROVALS

NOTE: Records of permanent value, as determined by Retention Schedule and/or the State Archivist, will be accessioned into the State Archives.		Attorney General (if unscheduled records)	Date
Division Director	Date	Commissioner of Administration (if unscheduled records)	Date
Departmental Records Officer	Date	State Archivist	Date

- ☐ The records listed above were destroyed on _____ _____ Cubic Feet
- ☐ The records listed above were accessioned into the State Archives. Ac_____ _____ Cubic Feet
- ☐ Selected records were accessioned into the State Archives. Ac_____ _____ Cubic Feet

and the remainder were destroyed on _____ _____ Cubic Feet

02-507 (Rev. 2/90)

Figure 726

7 THE STATE ARCHIVES

7.1 DIFFERENCES BETWEEN THE ARCHIVES AND THE RECORDS CENTER

The difference between the Archives and the Records Center lies in three areas - custody, clientele, and staff services. The Archives has both physical **and** legal custody of records. The primary clientele of the State Archives is the general public, including State agencies. The State Archives staff offers assistance in locating records that will answer a reference question. In order to facilitate the reference services detailed finding aids are prepared.

The Records Center, on the other hand, acts as the physical custodian for stored records on behalf of State agencies. Those agencies are the primary clientele and they retain legal custody. The Records Center staff retrieves files or boxes as specified by the client agency, but does not perform detailed "topical" reference services. Files or boxes may be checked-out by agencies to meet their operating needs.

7.2 WHAT IS ARCHIVAL CUSTODY?

The State Archives maintains only permanent or historical records originally created or maintained by a State or territorial agency. When records are transferred to the State Archives, the creating agency transfers legal ownership of the records to the State Archives.

Archival records may neither be borrowed nor removed from the State Archives building, even by the originating agency. This policy protects the records from loss and physical damage, and ensures their credibility as evidence.

7.3 WHICH RECORDS GO TO THE ARCHIVES AND WHEN?

Decisions about the permanent value of each record series are made when an agency establishes a Records Retention Schedule. The schedule lists all records created or maintained by the agency and gives guidelines for the length of time each record is to be kept in the office and in the Records Center. The schedule also indicates which records are to be permanently preserved in the State Archives.

7.4 SENDING RECORDS FROM THE AGENCY TO THE ARCHIVES

The Transmittal/Receipt (form 02-509, figure 8) is used to transfer records to the State Archives. This form identifies the records in detail and documents the transfer of legal custody. The form also serves as a working document for the Archives processing and reference staff.

Records to be sent to the State Archives should be boxed in the standard one cubic foot records storage carton available from the Archives & Records Management Services (see **Section 4.2**). Records will be placed in special acid-free permanent storage cartons during archives processing.

Submit the completed and signed Transmittal/Receipt to the State Archives for approval before transfer. For Juneau based agencies, records will be picked-up by Archives & Records Management Services staff. Out-of-town agencies will be notified to ship the records **prepaid**.

STATE OF ALASKA
Archives and Records
Management Services
141 Willoughby
Juneau, AK 99801-1720
(907) 465-2270

TRANSMITTAL/RECEIPT

TRANSFER OF PUBLIC RECORDS TO THE ALASKA STATE ARCHIVES

1. Accession No.	
Date Received/By	
RG No.	Series No.

Dept. No.	2. Department	3. Division	4. Section

5. Physical Location of Records	6. Contact Name	6A. Phone No.

7. DESCRIPTION OF RECORDS

7A. Series Title	7B. Inclusive Dates

7C. Retention Schedule & Item No.	7D. File index, code or manual available? ❑ Yes ❑ No

7E. General Series Description (Include information regarding content, order, etc.)

8. Total Number of Containers Transferred to Archives:

9. Format of Records: (Check each type that applies)

a. ❑ paper documents
b. ❑ maps, blueprints, engineering drawings
c ❑ bound volumes
d. ❑ photographs, slides, negatives
e. ❑ microforms
f. ❑ videotapes/motion pictures
g. ❑ audio tapes/cassettes
h. ❑ computer disks/magnetic tape
i. ❑ 3-dimensional objects
j. ❑ other _____

(Archives Use Only) Box Number(s)	Transfer List Number(s)
	Total Cubic Feet _____

Physical Condition of Records (Note damage or unusual wear)

10. Restrictions on use
❑ None ❑ Yes. Cite applicable statute or regulation _____

11. The above described public records are transferred to the official custody of the Alaska State Archives in accordance with the conditions shown on the reverse of this Transmittal/Receipt form (AS 40.21.020).

11a. Transferring Agency: I authorize the transfer of records herein described.	11b. **Alaska State Archives:** I accept custody of records herein described.
_____ Signature of Division Director or Designee _____ Date	_____ Signature _____ Date
Typed Name and Title	Typed Name and Title

02-509 (3/90)

Page 24

Figure 8

7.5 TRANSMITTAL/RECEIPT INSTRUCTION

Agency Identification: (block 2-6) Enter the name of the Department, Division, and Section. The Department Number is the first two digits of the agency's accounting or collocation code. For example, Department of Fish and Game is Department Number 11.

Enter the physical location of the records For Juneau based agencies, include the building and room number.

Enter the name and telephone number of the records custodian (a person who can be contacted for further information related to the records).

Description of Records: (block 7A-7D) Enter the record series title using the exact title as listed on the agency's Records Retention Schedule.

Enter the inclusive dates for the series. Be as precise as possible. For example, "ca. 1971-1977" is acceptable. "Prior to 1978" is not acceptable. It is not necessary to review the date of every single document, a range of dates is sufficient.

Enter the Retention Schedule Number and Item Number for the series.

Indicate if a file index, outline, or manual is available. Attach a copy of the index.

General Series Description: (block 7E) Enter a short statement of the function and scope of the series.

Describe the agency activities that are documented by the series and how the series is arranged. Refer to the series description on the retention schedule, expanding it if necessary. See **Appendix A** for sample series descriptions.

Number of Cartons: (block 8) Enter the total number of cartons being transferred.

Format of the Records: (block 9) Indicate the appropriate physical format of the series.

Restrictions on Use: (block 10) Indicate if there are any restrictions on use or access to the series. If yes, note the statutory or regulatory citation.

Required Signatures: (block 11) The Division Director or official designee must sign the completed form.

7.6 WHAT HAPPENS TO RECORDS AFTER THEY GO TO THE ARCHIVES?

After records arrive at the State Archives, staff review the Transmittal/Receipt, accession the records, and assign temporary box location numbers. Accessioning is a registration process that ensures efficient tracking and retrieval of the records. The State Archivist signs the Transmittal/Receipt, thereby completing the transfer of legal custody.

A copy of the completed Transmittal/Receipt showing the official signatures, accession number, and temporary box location numbers will be returned to the agency.

Archives processing staff then analyze and arrange the records, providing special physical conservation care if needed. Archival finding aids are prepared that will result in prompt and accurate retrieval of specific documents and information. Finding aids include *"Series Inventories"* and *"Container Lists"* (see figure 9). A guide to the records of a particular agency may be prepared as well as descriptive leaflets.

"Series Inventories" identify the title, inclusive dates, quantity, function, scope and content of a record series.

"Container Lists" identify the contents of specific file units, such as boxes, folders or bound volumes.

Finding aids are organized by record group (an archival term that roughly translates into department or agency) and then by record series. Archive patrons use the finding aids to locate specific information related to their research topic. A listing of the Alaska State Archives Records Groups is included in **Appendix G**.

Basic archives cataloging information is also entered onto the Western Library Network, a bibliographic utility for subscribing libraries and archives throughout the Pacific Northwest and Alaska. This basic cataloging information is available in the Alaska Library Network microfiche catalog as well as in the LaserCAT catalog.

SAMPLE FINDING AIDS

ALASKA STATE ARCHIVES **SERIES INVENTORY**		
Agency: United States District Court, Fourth Division	Division: Clerk	Record Group 509
Series Title: Civil Docket Index 1900-1959	☐ Restricted ☒ Not Restricted	Series No. 416

DESCRIPTION:

The clerk of the court was responsible for maintaining records of civil actions brought before the court. The records were customarily maintained in a chronological journal cross referenced to a numerical docket. The volumes in this series contain these fields of information: case number, the plaintiff's name and the defendant's name in civil actions. The plaintiff's name is arranged alphabetically and provides the key access point.

4 volumes. Cases covered are numbered 1-10403. See container list for detailed description.

ALASKA STATE ARCHIVES **RECORDS CONTAINER LIST**			PAGE NO. 1	R.G. NO. 509 SERIES NO. 416
DEPT. NO. 509	DEPARTMENT: United States District Court, Fourth Division		DATE PREPARED/BY: 8/15/86	
DIVISION: Clerk			UPDATED/BY: 10/9/89	
SERIES TITLE: Civil Docket Index 1900-1959			UPDATED/BY:	
CONTAINER NOS.				
Box	Folder	RECORDS DESCRIPTION		DATES
OS-115		Index, Cases 1-2872	Vol. 1	1990-1926
OS-116		Index, Cases 2873-5180	Vol. 2	1926-1944
OS-117		Index, Cases 5181-8035	Vol. 3	1944-1954
OS-118		Index, Cases 8036-10403	Vol. 4	1951-1959

Figure 9

7.7 BASIC ARCHIVAL PRINCIPLES

An archives maintains its records according to two basic principles: **provenance** and **original order**.

Provenance means that records are kept in groups reflecting their original use. In other words, records from the Governor's Office are not co-mingled with records from the Department of Administration, even if there are documents or information in both groups relating to the same subject matter. The records are created and used by those two agencies for different reasons.

Original order refers to the practice of maintaining records in the order they were received by the Archives. The order itself tells a story about the operations of the creating agency. Any rearranging of these materials is done only to facilitate research such as correcting a misfile. If agency records are totally without a discernable order, the archives may impose an arrangement and document it in the finding aids.

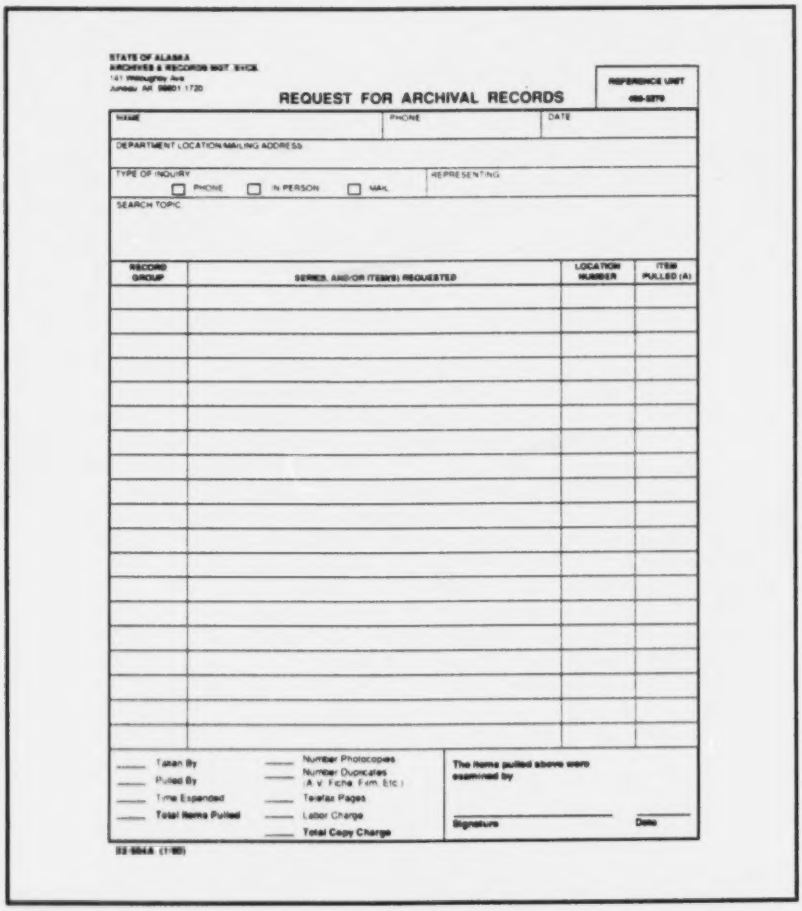
7.8 USING THE STATE ARCHIVES

Both State agency personnel and the general public use the holdings of the State Archives. The Archives maintains State government records by agency of origin not by subject or topic.

Patrons complete a Researcher Registration form and sign the daily register on their first visit. On any subsequent visit, patrons only sign the daily register.

After patrons have registered, the Archives reference staff interviews them to determine the nature of their research and suggests appropriate record groups and series for review. Patrons may use the archival finding aids (Guides, Series Inventories, and Container Lists) to select particular containers or volumes. A Request for Archival Records (form 02-504A, figure 10) is completed showing the containers or volumes to be reviewed.

Patrons use archival materials only in the State Archives reference area. Materials are returned to the vault or stack area at the end of the day.



STATE OF ALABAMA
ARCHIVES & RECORDS MGT. DIVS.
[illegible] Highway Ave
Jumbo, Al. 36801-1720

REQUEST FOR ARCHIVAL RECORDS

REFERENCE UNIT
[illegible]

NAME | PHONE | DATE

DEPARTMENT LOCATION/MAILING ADDRESS

TYPE OF INQUIRY ☐ PHONE ☐ IN PERSON ☐ MAIL | REPRESENTING

SEARCH TOPIC

RECORD GROUP	SERIES, AND/OR ITEM(S) REQUESTED	LOCATION NUMBER	ITEM PULLED (A)

____ Taken By
____ Pulled By
____ Time Expended
____ Total Items Pulled

____ Number Photocopies
____ Number Duplicates (A.V. Fiche, Film, Etc.)
____ Telefax Pages
____ Labor Charge
____ Total Copy Charge

The items pulled above were examined by

Signature _____ Date _____

02-504A (1/90)

Figure 10

7.9 RULES FOR USE OF ARCHIVAL MATERIALS

It is the responsibility of researchers and patrons to assist in the preservation of the records in the State Archives. Patrons are requested to observe the following rules that are designed to ensure the preservation and control of the records. Patrons acknowledge and agree to abide by these rules when signing the Researcher Registration form.

- Sign the daily register in the Search Room.
- No briefcases, parcels, backpacks, notebooks, or personal books are allowed in the Search Room. A closet and coat rack are provided for patron use. Any notebook or personal property taken into the Search room by special permission is subject to inspection before leaving the State Archives Building.
- No ink pens, ball-point pens, or markers may be used in the Search Room. Pencils will be provided.
- No marks may be made on any materials, no notes may be written on top of materials, and no books or other objects may be rested on the surface of the materials being used. Loose sheets and book pages must be handled by the edges in order to avoid touching of the document surface as much as possible.
- The existing order and arrangement of materials must be preserved. Report any disarrangement or missing documents to the Archives reference staff.
- Patrons may use only one container or bound volume at a time. Additional containers or volumes may be kept nearby or on a cart, but not on the table.
- Document markers are provided to indicate which pages or documents need to be copied.
- Smoking, eating and drinking are prohibited in the Search Room.
- The patron assumes responsibility for conforming with the laws of libel and literary property rights that may be involved in the use of archival materials.

7.10 DOCUMENT REPRODUCTION FEES

The State Archives provides a photocopier, microfilm reader printers, and microfilm or microfiche duplicators. Patrons may contract with local vendors for on-site copying services. Copies of documents may be made according to the fee schedule shown in **Appendix H**.

8 A VITAL RECORDS PROGRAM

8.1 WHAT ARE VITAL RECORDS?

Vital records are those documents that, in the event of a disaster, are absolutely necessary to continue the business of government and protect the rights of citizens. Records should be designated vital that:

- enable the resumption of statutorily mandated programs and functions;
- recreate the legal and financial status of the agency; and,
- fulfill obligations to employees and citizens.

It is important to remember that a vital record is not necessarily a permanent record, nor is the designation of "vital record" a permanent designation. A record's status may change over time. The validity of vital records designations should be part of the agency's annual review of the retention schedule.

An effective vital records program protects only those records that are absolutely essential. It is a very selective process and only 3 percent to 5 percent of an agency's records are truly vital. Some examples of vital records are:

- contracts and agreements;
- current property inventories or asset listings;
- deeds or certificates of ownership;
- financial books of original entry;
- listings of benefit recipients;
- payroll registers;
- facility engineering drawings;
- accounts receivable records; and,
- insurance policies

Vital records are not necessarily paper records. Electronic media, microfilm, and audio/video tapes may all contain recorded information that could be classified as vital.

8.2 OBJECTIVES OF THE VITAL RECORDS PROGRAM

A vital records program is preventive in nature. The primary objective is to insure the ongoing maintenance and availability of vital records in case of a disaster. By ensuring the availability of vital records, agencies provide a foundation for disaster recovery efforts.

Vital records protection is a pro-active means of ensuring that essential information is available for necessary operational reactions to a disaster. Thus, agencies should integrate vital records protection with the overall disaster recovery plans.

8.3 VITAL RECORDS PROGRAM RESPONSIBILITY

Under the provisions of AS 40.21, "The Management and Preservation of Public Records Act," the chief executive officer of each State department is to establish a program to identify, segregate, and protect vital records [AS 40.21.060(5)]. The Departmental Records Officer should coordinate this activity with the Archives & Records Management Services.

8.4 VITAL RECORDS PROGRAM TASKS

There are five basic tasks involved in a vital records program:

1) Identification and appraisal of records.

2) Assessment of potential disasters or risk analysis.

3) Assessment of protection methods for records.

4) Design and implementation of procedures for disaster prevention, preparedness, and recovery.

5) Program testing and audit.

A vital records program checklist is found in **Appendix C** and Suggested Readings are listed in **Appendix J**.

8.5 VITAL RECORDS IDENTIFICATION AND APPRAISAL

Identification and appraisal of vital records should be part of the agency's records inventory and retention scheduling process. A determination must be made of essential agency functions and the record series that document or support those functions. The agency's records retention schedule should be updated to reflect vital records designations.

8.6 POTENTIAL DISASTERS

The assessment of potential disasters is a process of determining levels of acceptable risk. A disaster may be natural, man-made, or the result of environmental conditions.

Naturally occurring disasters such as a flood, earthquake, or tidal wave are likely to affect an entire community. Thus, recovery from natural disasters is a regional effort.

Man-made disasters include fire, theft, vandalism, and accidental misplacement or misuse. The frequency of occurrence for man-made disasters that affect only records is much higher than for natural disasters. Vital records are often a specific target in a man-made disaster.

Degradation of records arising from environmental conditions or inadequate storage facilities is another form of disaster. Improper storage conditions are the slow fires that may eventually destroy an agency's vital records. Airborne pollution, sunlight, humidity, and heat can cause records to degrade over time.

8.7 METHODS OF VITAL RECORDS PROTECTION

There are several methods for protecting an agency's vital records. No one method should be employed for all vital record series. Each record series has its own unique characteristics and functions that will determine the appropriate method of protection.

Dispersal: Copies of vital records are sent to multiple locations. These copies may be produced and disseminated in the normal course of business (such as each board member receiving a copy of the minutes) or copies may be specifically created (through a photocopy or micrographics process) and distributed to several field offices for the sole purpose of vital records protection.

On-Site Protection: On-site protection for vital records means day-to-day storage of current records in a fire-proof cabinet or vault or in a special file-room equipped with fire suppression, environmental controls (for heat, humidity, and vermin) and access control systems.

Off-Site Protection: Non-current vital records or copies of current vital records may be stored in a separate facility such as the State Records Center. The best protection from natural disaster is provided by a facility located at least five miles from the agency's office.

9 MICROGRAPHICS

9.1 BENEFITS OF MICROGRAPHICS

Microfilming is well recognized as a practical and valuable method for the storage, retrieval, and dissemination of information. However, microfilm is not the answer to all of an agency's surplus records problems. It is only one weapon in the records manager's arsenal. Other effective records management tactics for controlling the volume of paper are files management, records retention schedules, and records center operations.

The chief records management benefit of microfilming records is a 98 percent reduction in storage space requirements. A well indexed microfilm records system, combined with a computer assisted retrieval system, can provide agencies with almost instant access to documentary information (see figure 11). Microfilm can be easily and cheaply duplicated to provide field offices with working copies of important records. A microfilmed record maintains its integrity even with constant use because the images are in a fixed and unchanging order. Microfilming vital records insures against loss or damage when the microfilm is stored off-site in a secure vault.

Microfilming is also one of the best methods for preservation of permanently valuable records. Archival (silver-halide) microfilm, meeting the national standards for quality, will last indefinitely if stored under proper conditions. Microfilm copies of archival records can be used in place of the originals to increase the public's access to information in widely scattered locations statewide. Suggested readings are listed in **Appendix J**.

9.2 IMPORTANCE OF GOOD RECORDS MANAGEMENT

Microfilm can result in significant savings for an agency, but care must be taken in implementing a microfilming system. Adequate procedures will insure that the potential benefits are not lost. Proper planning, system design, equipment selection, quality control, and care of the end product will insure the success of the microfilming project.

Before an agency considers the use of micrographics, it must first review and evaluate the success of its overall records management system. Use of microfilm alone will not improve a poor paper records system. Successful microfilm records systems depend upon careful evaluation and improvement of existing systems before microfilm is offered as an alternative.

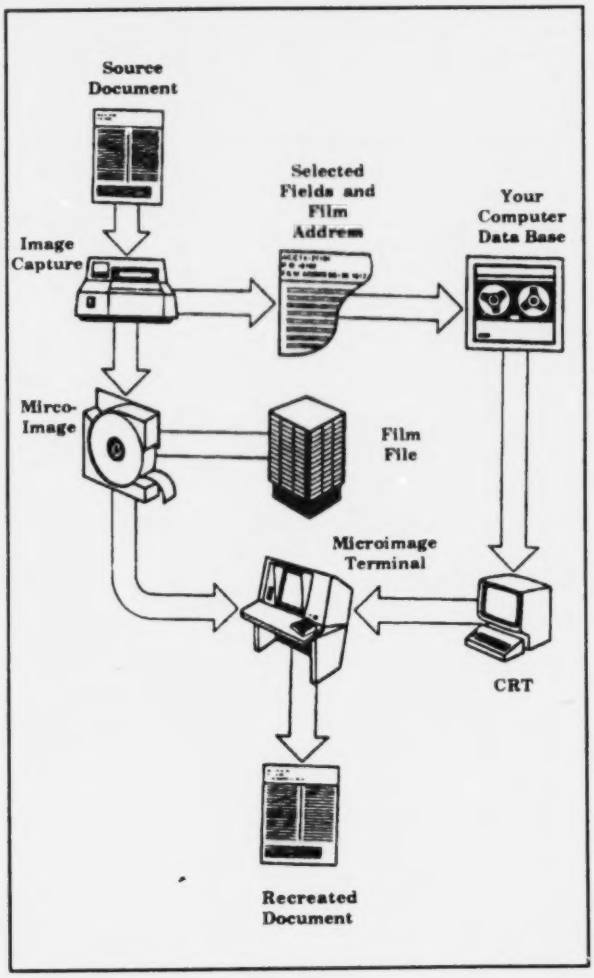


Figure 11

9.3 WHICH RECORDS SHOULD BE MICROFILMED AND WHEN?

In general any record series with a retention period of more than ten years is a good candidate for microfilming. Vital or archival records are also excellent candidates for preservation and protection through microfilming. Microfilming short-term retention records can be justified provided that a high retrieval rate exists or where there is a need for wide distribution of documentary information.

A microfilm feasibility study should always be done to ensure that the costs associated with the proposed microfilming project are justified. The feasibility study should include:

- the purpose of the microfilming project;
- an analysis of the costs and effectiveness of the present paper records system;
- costs of conversion to a microfilm based records system; and,
- costs of acquiring and operating microfilm equipment such as readers and reader/printers.

The Archives & Records Management Services professional staff is available to assist agencies design efficient and cost effective micrographic records systems.

9.4 IS MICROFILM LEGALLY ACCEPTABLE?

Under the provisions of the "Management and Preservation of Public Records Act," AS 40.21.140 reproductions of records are to be "considered original records for all purposes and are admissible in evidence as original records." The Uniform Rules of Evidence, Best Evidence Rule, states that duplicates (i.e., microfilmed records) are admissible as evidence if the original has been destroyed in the normal course of business. Thus if an agency chooses to maintain both the original paper record and the microfilmed record, the best evidence would be the original paper. However, if an agency chooses to destroy the original paper after microfilming; the best evidence would be the microfilm.

9.5 MICROFORM FORMATS

There is a wide variety of formats for microforms. Agencies need to select the format that best suits their retrieval and information dissemination needs. This selection is critical to the success of the microfilming project. The usefulness of the end product depends upon a wise choice of format. The primary microform formats are:

- roll microfilm, 16 mm and 35 mm reels and cartridges;
- microfilm jackets and aperture cards;
- microfiche, conventional and updatable;
- computer output microfilm (COM); and computer assisted retrieval (CAR) microfilm.

Detailed information on the advantages of each format can be found in the suggested readings or by contacting the Archives & Records Management Services.

Retrieval needs (document retrieval versus file retrieval), record status prior to filming, and dissemination needs should dictate the format finally selected. Consider the answers to such questions as:

- Do users retrieve specific documents or entire files?
- Is the retrieval based on an information item search or on a need to browse through file contents?
- Are documents or files completed or closed prior to filming?
- Is the filming for an active/open records system?
- Is there a need to distribute copies of the filmed record?

9.6 MICROFILM HARDWARE

The microfilm hardware needed for a particular micrographic records system will depend to a great extent upon the format selected. When selecting microfilm equipment, each piece of hardware must be viewed as an integral part of the total system. The camera, processor, duplicator, and reader or reader/printer must all be compatible and appropriate for the format and film type.

Acceptance by the micrographics industry of standards promoted by the Association for Information and Image Management (AIIM) and the American National Standards Institute (ANSI) mean that agencies can mix and match hardware and supplies from different vendors or manufacturers. The Archives & Records Management Services professional staff offers agencies technical assistance in the review and selection of equipment.

9.7 STANDARDS FOR MICROFILM QUALITY

The quality of a microfilm image system is measured by resolution, density, and how well the film is processed. In order to ensure the quality and legal acceptability of microfilm the following basic standards are recommended:

1) **Resolution** is a measurement of a complete photographic system's (light, film, camera, and development process) ability to record fine detail. Resolution is expressed as the maximum number of lines per millimeter that can be distinguished in an image. Resolution is measured by examining under a microscope a filmed re-solution chart containing progressively smaller patterns of lines. The national standard for acceptable resolution is a **minimum of 90 lines per millimeter for a rotary camera and a minimum of 120 lines per millimeter for a planetary camera.**

   Resolution targets should be filmed at the beginning of every reel. The resolution of random reels should be checked at least once a week. A microscope is required to perform this test. Resolution loss between film generations can be as much as 10 percent, therefore, a high degree of resolution is required to ensure readability of succeeding copies.

2) **Density**, or the amount of light reflected or transmitted by an area, is a measurement of contrast. Higher contrast makes it easier to read the filmed images or discern numbers and graphic representations. The national standard for acceptable density is a value **between 1.0 and 1.2 measured by a transmission densitometer.** Density should be checked on every reel.

3) Film processing involves washing the film to remove certain chemicals. Testing for **residual thiosulfate** measures chemicals left on the film after it is processed. The national standard for residual thiosulfate is **less than .7 micrograms thiosulfate per cubic centimeter for archival quality microfilm suitable for long term storage.** Film with concentrations greater .7 micrograms thiosulfate per cubic centimeter is not of archival quality but would be suitable for short-term retention.

   Because of the cost of maintaining testing chemicals, this test is usually performed by a full service microfilm service bureau. A small piece of clear (image free) processed film is submitted for testing within 14 days of processing and results are returned with supporting documentation. Testing should be done at least once a month; or whenever processing equipment is moved, upgraded or water flow conditions change.

9.8 STORAGE CONDITIONS FOR MICROFILM

Film should be protected from dust or other damaging agents. Relative humidity in the storage area should be between 30 to 40 percent and the temperature should be below 70 degrees Fahrenheit. Off-site storage of master microfilm is recommended for security.

9.9 INDEXING AND LABELING

All microfilm reels produced should be internally identified with the name of the agency, and date of filming. Microfiche or microfilm jackets should be clearly labeled on the header strip to reflect the agency and file title.

External reel labeling should reflect the name of the agency and reel contents, including beginning and

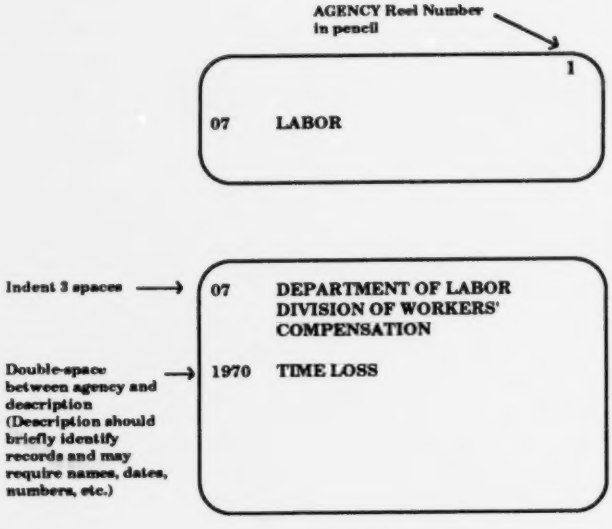

AGENCY Reel Number in pencil
1
07 LABOR
Indent 3 spaces
07 DEPARTMENT OF LABOR
DIVISION OF WORKERS' COMPENSATION
Double-space between agency and description (Description should briefly identify records and may require names, dates, numbers, etc.)
1970 TIME LOSS

Figure 12

ending file titles and inclusive dates. A density/resolution reading should be recorded on the external reel label. The suggested reel label format is shown in figure 12.

9.10 DESTRUCTION OF PAPER AFTER FILMING

The agency's records retention schedule should be updated to reflect microfilming for the series and should include instruction on the disposition of the original paper documents. Retention of the paper after filming is not necessary as the microfilmed records are fully acceptable as evidence in legal proceedings (AS 40.21.140). However, records that are designated as historical or archival are frequently preserved in their paper form even after microfilming. The State Archivist will determine the need to retain paper documents after filming.

9.11 CENTRAL MICROFILM SERVICES

The Archives & Records Management Services operates a centralized micrographics lab to provide services to State agencies on a charge-back basis. A full range of professional micrographic services is available including systems analysis and design, source document microfilming, and repair or maintenance of micrographic equipment.

Support services for agencies with in-house microfilming operations include film processing, duplication, quality control testing, technical/operational assistance, and equipment repair.

Agencies who use the Central Microfilm Lab are responsible for preparing records for filming--pulling staples, weeding, and arrangement. They are also responsible for preparing external reel labels or jacket headers as well as for preparing the Records Transfer List for master film being sent to the Records Center for security storage.

APPENDIX

APPENDIX A

SAMPLE RECORDS SERIES TITLES AND DESCRIPTIONS

1) Recruitment and Examining Records:

The series consists of case files which include employment applications, correspondence, eligible lists, and certifications. Files are arranged alphabetically by job class title and date. NOTE: This agency has been delegated authority to directly recruit and examine certain classes of positions.

2) Reading Files:

The series consists of copies of outgoing letters and memoranda from all staff arranged by date.

3) Administrative Subject Files:

The series consists of correspondence and information related to the administrative functions of the agency arranged by subject. Topics include budget, travel, personnel, and supply. A file code or guide is included.

4) Contract Files:

The series consists of case files which document the selection, award, and administration of professional services contracts. Files include Requests for Proposals, evaluations, notices of award, contract documents and amendments, payment records, and correspondence. Files are arranged alphabetically by contractor.

5) Coastal Management District Files:

The series consists of case files documenting the agency's recommendations and decisions relating to coastal management districts as provided in 6 AAC 85.150 - 170. Files are arranged numerically by district code.

APPENDIX B

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULES

EXAMPLES OF NONRECORD MATERIALS*

1. Books, magazines, publications received from other agencies.
2. Drafts, after the original has been approved.
3. Blank forms.
4. Extra copies of correspondence or reports kept for convenience.
5. Notes, after the report has been put into final form.

* There may be exceptions to these guidelines. When in doubt, contact Archives and Records Management Services.

DEPARTEMENT OF EDUCATION
Archives & Records Management Services
141 Willoughby Avenue
Juneau, AK 99801-1720
(907) 465-2276

STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

OFFICE ADMINISTRATION RECORDS		Schedule Number 77037A
		Page 1 of 6

The General Administrative Records Schedule (GARS) act as a guide for the retention of records of a purely administrative nature that are found in most state agencies. Because individual agency needs may differ, only a total minimum retention period is listed. Agencies may determine the office and records center retention periods if necessary and appropriate. The GARS supplement individual agency retention schedules.

Unless otherwise noted, all GARS records series are non-confidential.

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
1.	Records Management Files:	
	a. Records Retention Schedules	Retain current approved schedule only.
	b. Records Transfer Lists	Retain until all boxes are disposed of.
	c. Records Disposition Authorizations	Three years, then discard.
	d. Transmittal Receipts	Three years, then discard.
	e. Records Inventory Information	Retain current data only.
	f. File Outline, Plan, or Index	Retain as part of the covered files.
2.	Forms Control Files: The series consists of copies of agency forms arranged by number and/or function. May also include specifications, copies of printing orders, and development/revision notes.	Retain individual files as long as the form is in current use.
3.	Reading Files, Agency Head: The series consists of copies of outgoing letters and memoranda arranged by date. Agencies also maintain subject files which contain more complete information and are covered by individual agency schedules.	Two years, then transfer to State Archives.

Pursuant to the provisions of AS 40.21, the records listed are approved for retention and disposition as indicated.

	Records Analyst: Charles H. Childress	Date: 4-22-91	Attorney General: [signature]	Date: 4-17-91
	State Archivist: [signature]	Date: 5/8/91	Commissioner of Administration: [signature]	Date: 5-8-91

02-503GA (Rev. 5/90)

DEPARTEMENT OF EDUCATION
Archives & Records Management Services
141 Willoughby Avenue
Juneau, AK 99801-1720
(907) 465-2276

STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

OFFICE ADMINISTRATION RECORDS	Schedule Number 77037A	Page 2 of 6

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
4.	Reading Files, Other Staff: The series consists of copies of outgoing letters and memoranda arranged by date. Agencies also maintain subject files which contain more complete information and are covered by individual agency schedules.	Two years, then discard.
5.	Requests for Information: The series consists of requests for agency reports, publications, forms, or routine program information.	Three months, then discard.
6.	Acknowledgments/Referrals: The series consists of agency acknowledgments and transmittals of inquiries and requests that have been referred elsewhere for reply.	Three months, then discard.
7.	Appointment Books and Calendars, Agency Head:	Retain until administrative need is met, then transfer to State Archives.
8.	Appointment Books and Calendars, Other Staff:	One year, then discard.
9.	Telephone Message Books or Logs:	One year, then discard.
10.	Teletype or FAX Messages: The series consists of copies of incoming and the original outgoing message.	Two months, then discard. File substantive messages with the appropriate subject or case file.
11.	Electronic Mail Messages: The series consists of either the electronic message (on-line) or a hardcopy printout.	Two months, then discard. Print out and file substantive messages with the appropriate subject or case file.

44

45

DEPARTEMENT OF EDUCATION
Archives & Records Management Services
141 Willoughby Avenue
Juneau, AK 99801-1720
(907) 465-2276

STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

OFFICE ADMINISTRATION RECORDS	Schedule Number 77037A	Page 3 of 6

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
12.	Policies, Procedures, Regulations (Received): The series consists of copies of policies, procedures, directives, manuals, regulations, etc. that are received by an agency.	Retain until superseded.
13.	Policies, Procedures, Regulations (Issued): The series consists of official copies of policies, procedures, directives, manuals, regulations, etc. that are issued by an agency along with the related case files documenting the development of the issuance.	Retain until superseded, then transfer to State Archives.
14.	Opinions and Decisions (Received): The series consists of copies of opinions, decisions, and policy interpretations that are received from other agencies.	Retain until administrative need is met, then discard.
15.	Opinion and Decision Files (Issued): The series consists of official copies of agency opinions, decisions, and policy or regulatory interpretations with the related case files that resulted in the opinion, decision, or interpretation.	Retain until administrative need is met, then transfer to State Archives.
16.	Staff Meeting Minutes or Notes: The series consists of minutes or notes from meetings of operating program staff. May be included in the agency subject files.	Three years, then discard.
17.	Management Staff Meeting Minutes or Notes: The series consists of minutes or notes from meetings of management level staff (Program Managers, Directors, Agency Heads). May be included in the agency subject files.	Five years, then offer to State Archives for review.

02-503GA (Rev. 5/90)

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141 Willoughby Avenue
Juneau, AK 99801-1720
(907) 465-2276

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

OFFICE ADMINISTRATION RECORDS	Schedule Number 77037A	Page 4 of 6

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
18.	Trip Reports: The series consists of narrative reports resulting from field and administrative travel. May be included in the agency subject files.	Five years, then offer to State Archives for review.
19.	Conference and Seminar Notes:	Retain until administrative need is met, then discard.
20.	Agency Activity Reports (Issued): The series consists of reports or memoranda of agency activities. May be issued on a weekly, monthly, or quarterly basis.	Three years, then discard.
21.	Activity Reports (Received): The series consists of reports or memoranda of activities in other agencies.	Retain current report only.
22.	Annual Reports (Issued): The series consists of year-end reports of agency activities.	Retain until administrative need is met, then transfer to State Archives.
23.	News Releases (Received): The series consists of copies of news or press releases issued by other agencies.	Retain until administrative need is met.
24.	News Releases (Issued): The series consists of the official news or press releases issued by the agency.	Retain until administrative need is met, then transfer to State Archives.
25.	Clipping Files and Scrapbooks: The series consists of clippings or copies of articles related to agency activities.	Retain until administrative need is met, then transfer to State Archives. Items must be mounted and identified as to source and date.

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49

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

OFFICE ADMINISTRATION RECORDS	Schedule Number 77037A	Page 5 of 6

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
26.	Agency History Records: The series may include scrapbooks or clipping files; photographs (including prints and negatives) or audio/video recordings documenting agency activities; or written histories.	Ten years, then transfer to State Archives.
27.	Speeches: The series consists of typescripts of speeches by agency head or designee.	5 years then transfer to State Archives.
28.	Agency Publications: The series consists of published or printed reports, brochures, leaflets, pamphlets, studies, etc.	Transfer to State Archives annually. Retain distribution copies five years.
26.	General Correspondence and Subject Files, Agency Head: The series consists of correspondence and information related to the programs and administration of the agency arranged by subject and maintained by the agency head. Includes the file guide, index, or outline. Establish annual files cut-off.	Five years then offer to State Archives for review.
27.	General Correspondence and Subject Files, Other than Agency Head: The series consists of correspondence and subject files maintained by agency program managers or sections. May include both intra-agency and inter-agency correspondence. Includes the file guide, index, or outline. Establish annual files cut-off.	Three years, then discard.

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

OFFICE ADMINISTRATION RECORDS	Schedule Number 77037A	Page 6 of 6

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
28.	Messenger Service Files: The series consists of daily logs, work assignments and instructions, dispatch notices, delivery receipts, and route schedules.	Two months, then discard.
29.	Post Office and Private Mail Company Files: The series consists of registered, certified, and insured mail logs; express and special delivery receipts; and return receipts.	One year, then discard.

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

FINANCE, BUDGET AND ACCOUNTING RECORDS		Schedule Number 77037B
		Page 1 of 3

The General Administrative Records Schedule (GARS) act as a guide for the retention of records of a purely administrative nature that are found in most state agencies. Because individual agency needs may differ, only a total minimum retention period is listed. Agencies may determine the office and records center retention periods if necessary and appropriate. The GARS supplement individual agency retention schedules.

Unless otherwise noted, all GARS records series are non-confidential.

Item No	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
1.	Travel Files: The series consists of agency copies of Travel Authorizations (form 02-027) and Request for Transportation (form 02-019) with documents supporting payment or reimbursement. Official records are maintained by Department of Administration, Division of Finance, as part of AKSAS documentation.	Two years, then discard.
2.	Budget Workpapers: The series consists of agency copies of operating and capital budget submissions, final budgets, instructions, and supporting documents. Official records are maintained by Office of Management and Budget (OMB).	Five years, then discard.
3.	Audit Reports: The series consists of agency copies of Legislative, Internal, or OMB audit reports and responses.	Five years, then offer to State Archives for review.

Pursuant to the provisions of AS 40.21, the records listed are approved for retention and disposition as indicated.

	Records Analyst: Charlene H. Childress	Date: 4-22-91	Attorney General: Daniel Bankenship	Date: 4-27-91
	State Archivist: Virginia R. Hamilton	Date: 5/2/91	Commissioner of Administration: Willett Keller	Date: 5-8-91

02-503GA (Rev. 5/90)

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

	Schedule Number	
FINANCE, BUDGET AND ACCOUNTING RECORDS	77037B	Page 2 of 3

Item No	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
4.	Vendor Files: The series consists of copies of invoices submitted for payment arranged by vendor. Official records are maintained by Department of Administration, Division of Finance. May also include copies of Delivery Orders and Purchase Orders with attached invoices.	Two years, then discard.
5.	Contract, Agreement, and Lease Files: The series consists of case files that document the solicitation, selection, award, and administration of contracts or leases.	Retain six years after termination of the contract, agreement, or lease.
6.	Grant Files: The series consists of case files that document applications for State grant funds. Includes grant applications, reviews and evaluations, notice of award, grantee reports and billings, and correspondence.	Retain six years after termination of the grant.
7.	Responses to Requests for Proposals (RFPs), Not Selected: The series consists of all responses to an agency RFP that were received.	Three years, then discard.

57

50

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

FINANCE, BUDGET AND ACCOUNTING RECORDS	Schedule Number 77037B	Page 3 of 3

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
8.	Federal or Block Grant Files: The series consists of case files that document agency applications for federal funds. Includes grant applications or budgets, reports, and applications.	Retain three years after submission of final payment request or completion audit. NOTE: Records for non-expendable property purchased with federal funds must be retained for three years after final disposition of the property (OMB Circular A-102, attachment C).
9.	Accounts Receivable Files: The series consists of copies of agency billings for services provided to non-state agencies or individuals. Includes Bill for Collection (form 02-472).	Retain three years or until audit.
10.	Cash Receipts: The series consists of copies of receipts issued to customers when accepting cash for agency services rendered.	Retain three years or until audit.
11.	Banking Records: The series consists of bank statements, deposit slips, and cancelled checks for agency clearing, depository, or petty cash accounts.	Six years, then discard.
12.	Reimbursable Services Agreement (RSA) Files: The series documents agreements between agencies. Includes RSAs (form 02-098) with supporting documentation.	Three years, then discard.
13.	Credit Card Charge Tickets: The series consists of the hardcopy sales ticket that supports payment for charged purchases including gasoline.	Two years, then discard.

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

PERSONNEL AND PAYROLL RECORDS		Schedule Number 77037C
		Page 1 of 2

The General Administrative Records Schedule (GARS) act as a guide for the retention of records of a purely administrative nature that are found in most state agencies. Because individual agency needs may differ, only a total minimum retention period is listed. Agencies may determine the office and records center retention periods if necessary and appropriate. The GARS supplement individual agency retention schedules.

Unless otherwise noted, all GARS records series are non-confidential.

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
1.	Individual Personnel Files: The series consists of agency copies of employee records. Official records for Classified and Partially Exempt employees are maintained by the Department of Administration, Division of Personnel. Official records for Exempt employees are maintained by the agency Personnel Office.	Discard one year after termination. Confidential per AS 09.25.080.
2.	Unsolicited Resumes, Employment Inquiries or Applications:	Six months, then discard.
3.	Worked Eligible Lists: The series consists of the agency copy of Eligible Lists with interviewer comments and copies of Applications for Employment for interviewees. Official records are maintained by either the agency Personnel Officer or the Department of Administration, Division of Personnel.	One year, then discard. Confidential per AS 09.25.080.

Pursuant to the provisions of AS 40.21, the records listed are approved for retention and disposition as indicated.

60	Records Analyst: Charles A. Childers	Date: 4-22-91	Attorney General: [illegible]	Date: 4-29-91
	State Archivist: Virginia A. Easton	Date: 5/8/91	Commissioner of Administration: Mildred Keller	Date: 5/8/91

02-503GA (Rev. 5/90) 19/20/02-503.PM3

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

PERSONNEL AND PAYROLL RECORDS	Schedule Number 77037C	Page 2 of 2

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
4.	Job/Position Descriptions (PCN Files): The series consists of copies of employee Position Descriptions, requests for reclassification, and classification action memorandums. Official records are maintained by the Department of Administration, Division of Personnel.	Retain until administrative need is met.
5.	Timesheets (Data Input Site): The series consists of the original employee timesheet with attached original leave slips (form 02-035) maintained at the data input site. Data is input into the Payroll System at many locations.	Three years, then discard.
6.	Timesheets (Agency Copy): The series consists of agency or employee copies of timesheets with attached copies of leave slips (form 02-035)	One year, then discard.
7.	Overtime Authorizations:	Three years then discard.
8.	Leave Records (Agency Copies): The series consists of agency copies of leave slips, leave accounting reports, and compensatory time records.	One year, then discard.
9.	Payroll Warrant Register: The series consists of agency copies of the payroll warrant register.	Two years, then discard.

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Juneau, AK 99801-1720
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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

PURCHASING, RISK MANAGEMENT AND PROPERTY MANAGEMENT RECORDS		Schedule Number 77037D Page 1 of 2

The General Administrative Records Schedule (GARS) act as a guide for the retention of records of a purely administrative nature that are found in most state agencies. Because individual agency needs may differ, only a total minimum retention period is listed. Agencies may determine the office and records center retention periods if necessary and appropriate. The GARS supplement individual agency retention schedules.

Unless otherwise noted, all GARS records series are non-confidential.

Item No	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
1.	Property Inventories: The series consists of agency copies of the Controlled Property Inventory (form 02-658) and printouts from the State Property Management System.	Retain current information only.
2.	Stock Requests and Supply Requisitions The series consists of agency copies of Stock Requests (form 02-303), Purchase Requisitions (form 02-099), or Forms Stock Release (form 02-591).	One year, then discard.
3.	Printing and Duplicating Requests: The series consists of agency copies of Requests for Duplicating Services (form 02-095) and Quick Copy Requests (form 02-914) as well as internal agency requisitions for printing or reprographic services.	One year, then discard.

Pursuant to the provisions of AS 40.21, the records listed are approved for retention and disposition as indicated.

Records Analyst: Charles A. Childress	Date: 4-22-91	Attorney General: [signature]	Date: 4-27-91
State Archivist: Virginia A. Hunter	Date: 5/9/91	Commissioner of Administration: Millott Kahn	Date: 5/8/91

02-503GA (Rev. 5/90)

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STATE OF ALASKA

GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

PURCHASING, RISK MANAGEMENT AND PROPERTY MANAGEMENT RECORDS	Schedule Number 77037D	Page 2 of 2

Item No.	Record Series Title & Description	Suggested Retention Period or Disposition Instructions
4.	Delivery Orders (DO) and Purchase Orders (PO): The series consists of agency copies of DOs and POs arranged by document number. Official records are maintained by the Department of Administration, Division of Finance (for DOs), or Division of General Services and Supply (for POs).	Two years, then discard.
5.	Property Transfer Documents: The series consists of agency copies of Intra-Departmental Property Transfer (form 02-622) and Property Receipt (form 02-657).	Two years, then discard.
6.	Accident Reports: The series consists of agency copies of Liability Accident Notice (form 02-919), Report of Occupational Illness or Injury (form 02-921), and Supervisor's Accident Investigation (form 02-932).	Two years, then discard.
7.	Vehicle Reports: The series consists of agency copies of mileage logs or reports.	One year, then discard.

APPENDIX C

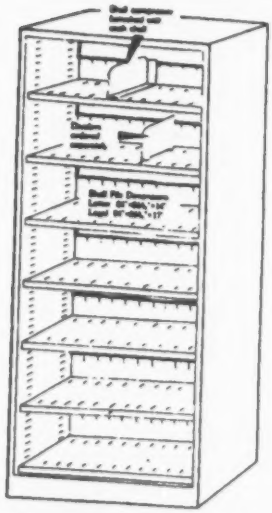
VITAL RECORDS PROGRAM CHECKLIST

	Yes	No
A. Vital Records Program Planning:		
1. Is planning a vital records program an important part of your agency's overall contingency planning effort?	☐	☐
2. Do you know the emergency mission of your agency and what records would be necessary to carry it out?	☐	☐
3. Do you know what rights and interests your agency is responsible for protecting and what records would be necessary to protect them?	☐	☐
4. Do you know what the essential functions of your agency are and what records are necessary to carry them out?	☐	☐
5. Have potential threats to your agency's vital records been addressed and protection methods considered?	☐	☐
B. Establishing the Vital Records Program:		
6. Is there an agency policy or directive authorizing a vital records program that outlines the program objectives and staff responsibilities?	☐	☐
7. Are there clear procedures for selecting, collecting, inventorying, transferring, protecting, updating, and maintaining vital records?	☐	☐
8. Has agencywide responsibility for the vital records program been delegated to a headquarters official and is this responsibility reflected in their position description?	☐	☐
9. Have liaison officers been delegated responsibility for implementing the program in the field and is this responsibility reflected in their position description?	☐	☐
10. Are the agency's vital records identified on the Records Retention Schedules?	☐	☐

APPENDIX D

FILE EQUIPMENT OPERATING COST WORKSHEET

SHELF FILE



43" W Unit = 9.9 Sq. Ft.
40 Filing inches per shelf

Equipment Type _____ **Sq. Ft. per unit** _____

Number of Units _____ **Total Filing Inches** _____

Depreciated Purchase Price Per Unit $_____
(Divide Price by 10)

Annual Space Cost Per Unit $_____
(Unit Sq. Ft. **x** Monthly Sq. Ft. Rate **x** 12

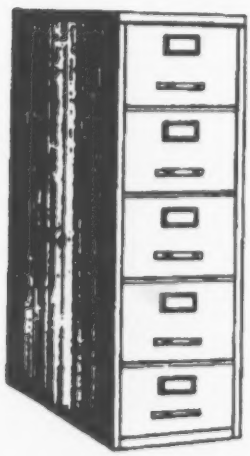
Annual Supply Cost $_____
($25 per 100 file inches)

Annual Labor Cost Per Unit $_____
(Operator Salary / Number of Units Serviced)

ANNUAL OPERATING COST PER UNIT $_____

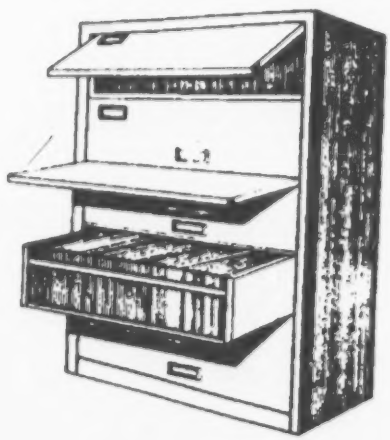
TOTAL OPERATING COST $_____
(Annual Per Unit Cost **x** Number of Units)

VERTICAL CABINET



Letter Size = 7.6 Sq. Ft.
Legal Size = 9.1 Sq. Ft.
25 Filing inches per drawer

LATERAL CABINET



42" W Unit = 16.3 Sq. Ft.
39 Filing inches per drawer

APPENDIX E

FILES MANAGEMENT TIPS

HOW TO APPRAISE FILES IN 60 SECONDS

1) **Open a drawer and see how crowded it is.**
There should be 3 to 4 inches of free space to work in. A tightly packed drawer slows filing time and increases filing costs.

2) **Check for the number of file guides in the drawer.**
An active file drawer should contain 5 to 15 guides. Improper use of guides causes inefficient filing and misfiling.

3) **Note the type and condition of the file folders.**
Is the tab style consistent? Is the stock and weight of the folders consistent? (A well run file will have uniform folder weight, size, and tabs. There will be a quickly recognized scheme to the arrangement of the tabs.)

4) **Note how the folders are labeled.**
Are regular file folder labels used? Are labels typed? Are standard colors used that tie in with the overall system?

5) **Note the amount of material filed in each folder.**
Folders normally will hold 3/4 to 1 inch of papers before a second volume is needed. Papers become easily mutilated in an overcrowded folder.

TEN QUESTIONS TO ASK IN APPRAISING FILES MANAGEMENT TECHNIQUES

1) Does someone in the office determine whether or not any given paper created or received must be filed and where?

2) Does this office have a policy regarding the filing of draft copies, duplicates, route slips, and envelopes?

3) Are originators of publications and reports requested to discontinue sending in materials that are not needed?

4) Does this office routinely reply on the incoming letter or use form letters when appropriate?

5) Does this office have a filing system outline which is up-to-date?

6) When a file becomes inactive, is it physically moved to another section of the drawer?

7) Is a cut-off date established for subject files?

8) Are file drawers used for supplies, forms, and personal items?

9) Are bulky items such as publications stored in file drawers?

10) Are out-cards used when files are removed from the drawers?

APPENDIX F

RECORD STORAGE CONTRACT FEE SCHEDULE

CONTRACT AWARD NO. 2673 — Contract Period: 7/3/89 thru 6/30/92

CONTRACTOR: Alaska Archives
165 East 56th Avenue #1
Anchorage, AK 99501
Telephone: (907) 461-8000

STORAGE FEES:

1.	Hardcopy record storage		-	$ .30	per cubic foot per month.
2.	Electronic Data Storage:				
a.	Magnetic Tapes	1-100 tapes	-	$ .25	per tape per month.
		101-500 tapes	-	$ .20	per tape per month.
		501-plus tapes	-	$ .17	per tape per month.
b.	Disk Packs	1-9 packs	-	$ 1.31	per pack per month.
		10-49 packs	-	$ 1.31	per pack per month.
		50-99 packs	-	$ 1.00	per pack per month.
		100 plus packs	-	$ 1.00	per pack per month.

SERVICE FEES:

1.	Warehouseman time for indexing, retrieving, shelving, and storage preparation activities	-	$14.00	per hour.
2.	Retrieval:			
a.	For client pickup of a box	-	$ 4.00	each
b.	Pickup and delivery	-	$14.00	each
c.	Client Rotation (tapes/disks)	-	$ 4.00	each
3.	Record Destruction:			
a.	For clean computer paper (no carbon or NCR)	-	$ .16	per pound
b.	For all other paper	-	$ .18	per pound
c.	For paper requiring special handling such as the removal of metal fasteners.	-	$ .20	per pound
4.	After Hours Service: Building Opening	-	$40.00	per hour (one hr. min.)
5.	Photocopy charge	-	$ .10	per copy

SUPPLIES: (Note: Contractor must accept any standard storage box. Agencies will not be required to purchase contractor's boxes for storage.)

1. One cubic foot box with double reinforced bottom.

1-99	boxes	-	$2.50	per box.
100-999	boxes	-	$2.00	per box.
1000-4999	boxes	-	$1.93	per box.
5000-plus	boxes	-	$1.85	per box.

2. Oversize cartons with double reinforced bottom.

1-99	boxes	-	$3.50	per box.
100-999	boxes	-	$3.25	per box.
1000-4999	boxes	-	$3.00	per box.
5000-plus	boxes	-	$2.75	per box.

APPENDIX G

ALASKA STATE ARCHIVES RECORD GROUPS

RG NO.	EXECUTIVE (STATE)
0001	Office of the Governor, 1913-1985 Sub Group 03 Office of the Lieutenant Governor
0002	Department of Administration, 1926-1986
0003	Department of Law, 1968-1985
0004	Department of Revenue, 1937-1982
0005	Department of Education, 1906-1971
0006	Department of Health & Social Services, 1937-1979
0007	Department of Labor, 1936-1982
0008	Department of Commerce & Economic Development, 1914-1981
0009	Department of Military Affairs, 1981-1985
0010	Department of Natural Resources, 1946-1988
0011	Department of Fish & Game, 1959-1986
0012	Department of Public Safety, 1958-1984
0013	Department of Public Works, 1965-1975
0014	Department of Highways, 1965-1970
0015	Department of Economic Development & Planning, 1957-1976
0018	Department of Environmental Conservation, 1971-1984
0019	State Operated Schools
0020	Department of Corrections
0021	Department of Community & Regional Affairs, 1958-1983
0025	Department of Transportation & Public Facilities, 1900-1985

RG NO.	TERRITORIAL
0100	Alaska Constitutional Convention, 1955-1966
0101	Office of the District & Territorial Governor, 1880-1958
0101	Territorial Governor, 1880-1958
0102	Tennessee Plan Office, 1957-1958
0103	Territorial Department of Taxation, 1949-1953
0104	Merit System, 1940-1960
0105	Office of Territorial Treasurer, 1913-1957
0106	Territorial Department of Audit, 1916-1938
0107	Territorial Department of Public Welfare, 1937-1963
0108	Territorial Department of Health, 1938-1962
0109	Territorial Legislature, 1913-1959
0110	United States. Federal Field Committee for Development Planning in Alaska, 1949-1953
0111	Territorial Secretary, 1953-1954

RG NO.	LOCAL GOVERNMENTS
0201	Eagle (Alaska), 1898-1973
0202	Skagway (Alaska), 1887-1958

RG NO.	STATE & TERRITORIAL BOARDS AND COMMISSIONS
0301	Capital Site Selection Committee, 1971-1978
0302	Capital Site Planning Commission, 1977-1978
0303	American Revolution Bicentennial Commission, 1972-1976
0304	Human Rights Commission, 1964-1969
0305	North Commission (Northern Operations of Rail Transportation & Highways), 1964-1967
0306	Alaska Road Commission, 1949-1955
0307	Board of Electrical Examiners, 1960-1976
0308	Board of Medical Examiners, 1900-1976
0309	Dental Board of Examiners, 1913-1967
0310	Federal-State Land Use Planning Commission for Alaska, 1971-1979
0311	Territorial Board of Health, 1945-1958
0312	Territorial Board of Public Welfare, 1937-1958
0313	Alaska Statehood Committee, 1949-1958
0314	Alaska Development Board, 1945-1961
0315	Alaska Rural Development Board, 1955-1959
0316	New Capital Site Planning Commission, 1981-1982
0317	Alaska Statehood Commission, 1981
0318	Board of Juvenile Institutions, 1956-1959
0319	Board of Education, 1917-1982
0320	Territorial Employment Security Commission, 1936-1960
0321	Territorial Banking Board, 1914-1958
0322	Oil & Gas Conservation Commission, 1958-1978

ALASKA STATE ARCHIVES RECORD GROUPS (Cont'd)

RG NO.	LEGISLATURE
0401	Legislature, 1965-1986 (see also: Territorial Legislature RG 0109)
0402	Division of Legislative Audit, 1953-1986

RG NO.	COURT SYSTEM
0500	Supreme Court, 1959-1976
0501	Superior Court (First Judicial District)
0502	Superior Court (Second Judicial District)
0503	Superior Court (3rd Judicial District), 1960-1963
0504	Superior Court (4th Judicial District), 1960-1961
0505	United States. District Court (Alaska), 1884-1900
0506	United States. District Court (Alaska: First District), 1900-1960
0507	United States. District Court (Alaska: Second District), 1900-1960
0508	United States. District Court (Alaska: Third District), 1899-1958
0509	United States. District Court (Alaska: Fourth District), 1898-1979
0510	District Court (First Judicial District)
0511	District Court (Second Judicial District)
0512	District Court (Third Judicial District)
0513	District Court (Fourth Judicial District)
0514	Court of Appeals
0515	Judicial Council
0516	Commission on Judicial Conduct

APPENDIX H

COPY SERVICE POLICY STATEMENT

COPY SERVICE FOR THE PUBLIC:

PHOTOCOPIES

1. The first 25 copies are free to patrons. If additional copies are made, there will be a 10 cents per copy charge. If State Archives staff make the copies, the cost will be $20 per hour plus 10 cents per copy (minimum increment assessed, 15 minutes = $5).

MICROFORMS

1. The first 25 paper copies from microfilm are free to patrons. If additional copies are made, there will be a 10 cents per copy charge. If State Archives staff make the copies, the cost will be $20 per hour plus 10 cents per copy (minimum increment assessed, 15 minutes = $5).

2. The charge for microfiche duplication is $1 per fiche plus $20 per hour (minimum increment assessed, 15 minutes = $5).

3. The charge for diazo duplicate reel microfilm is $5 per reel. This includes materials and labor. Service is provided by the Archives' Central Microfilm Services, and requests are batched weekly.

4. In some cases patrons may obtain microfilm copies of previously unfilmed series. State Archives Staff will advise filming on a case by case basis. Patrons pay current Archives' Central Microfilm Services labor and production costs.

PHOTOGRAPHS

1. Archives staff takes photographs to a local vendor. The vendor contacts patrons when copies are ready, and patrons pay the vendor directly. If no negative exists, patrons also pay the cost of making a negative, which becomes the property of the State Archives.

AUDIO-VISUAL RECORDS

1. Patrons who want copies of audio-visual materials must provide replacement blank stock. Alaska State Library staff make the copy and contact the patron. The service is free.

COPY SERVICE FOR STATE AGENCIES

1. Archives staff will make up to 50 copies. Agency staff are responsible for larger jobs.

2. When the number of copies exceeds 250, agencies should replace the photocopy paper they use, at the following rate:

250 to 500 copies:	One package
More than 500 copies:	One package per 500 pages

3. Agencies may contract with vendors for copy work on-site, at their discretion. Vendors will be charged 10 cents per copy.

APPENDIX I

ARCHIVES & RECORDS MANAGEMENT SERVICES PUBLICATIONS

1. Records Management Manual, 1990.
2. Records Management Handbook: Files & Filing, 1987.
3. Checklist for Appraising Files Operations in Your Office
4. "Management of Records: Guidelines for State Officials," (a leaflet)
5. "Management of Records: Records Retention Schedules," (a leaflet)
6. "Management of Records: Central Microfilm Services," (a leaflet)
7. Alaska Local Government General Records Retention Schedules, 1987.
8. Records Management Resources for Local Governments in Alaska, 1989.
9. Needs & Resources of Historical Records Repositories in Alaska: Final Report, 1984.
10. "Management & Preservation of Public Records Act: AS 40.21," (a leaflet)
11. Alaska State Archives: A Guide, 1987.
12. A Series of Archival Descriptive Leaflets:

    "Statehood Committee Records"
    "Constitutional Convention Records"
    "Election Returns & Canvass Board Records"
    "Fox Brand Program, 1923-1943"
    "North Slope Haul Road Project, 1969-1974"
    "Fisherman's Work & Assistance Program, 1954-1963"
    "The Alaska Development Board, 1945-1961"
    "Public Welfare Records, 1937-1963"
    "Women's Suffrage in Alaska"
    "Capital Move Records, 1975-1982"
    "Dept. of Community & Regional Affairs Records, 1959-1982"
    "Alaska Court Records, 1884-1960"
    "1925 Serum Relay to Nome"
    "Rural Development Board, 1955-1959"
    "Documented Bear Stories"
    "Dept. of Revenue Records, 1959-1982"
    "Dept. of Labor Records, 1937-1982"
    "Early Education Records in the State Archives"

APPENDIX J

SUGGESTED READINGS

VITAL RECORDS

Bulgawicz, Susan L., and Nolan, Charles E. Disaster Prevention & Recovery: A Planned Approach. Prairie Village, KS: Association of Records Managers and Administrators, 1988.

Eulenburg, Julia Niebuhr. Handbook for the Recovery of Water Damaged Business Records. Prairie Village, KS: Association of Records Managers and Administrators, 1986.

Magnetic Diskettes Recovery Procedures. Prairie Village, KS: Association of Records Managers and Administrators, 1987.

Protection of Records, NFPA-232. Quincy, MA: National Fire Protection Association (NFPA), 1986.

Vital Records Guidelines. Prairie Village, KS: Association of Records Managers and Administrators, 1984.

MICROGRAPHICS

Brathal, Daniel A. and Langemo, Mark., Planning Conversions to Micrographic Systems. Prairie Village, KS: Association of Records Managers and Administrators (ARMA), 1987.

Costigan, Daniel M., Micrographics Systems. Silver Springs, MD: Association of Information and Image Management (AIIM), 1980.

Gunn, Micahel J., Manual of Document Microphotography. Boston, MA: Focal Press, 1985.

Hardy, Joe., Introduction to Micrographics. Silver Springs, MD: Association of Information and Image Management (AIIM), 1986.

Skupsky, Donald S., Recordkeeping Requirements. Denver, CO: Information Requirement Clearinghouse, 1988.

Spreitzer, Francis F., Selecting Microform Readers and Reader-Printers. Silver Springs, MD: Association of Information and Image Management (AIIM), 1983.

Storage and Preservation of Microfilms. Rochester, NY: Eastman Kodak Company, 1981.

GLOSSARY

GLOSSARY

ACCESS. The availability of records or the permission to consult records. Access may be restricted by the agency having legal custody as provided by the Open Records Act (AS 09.25.110).

ACCESSION. (1) The transfer of legal and physical custody of permanent records from an agency to the State Archives. (2) The transfer of agency records to a records center for temporary storage. The agency retains legal custody of the records. (3) A group of records so transferred.

ACTIVE RECORDS. See Current Records.

ADMINISTRATIVE RECORDS. Records relating to budget, finance, personnel, supply, travel, and similar housekeeping or facilitative functions common to most agencies, in contrast to program records.

ADMINISTRATIVE VALUE. The usefulness of records in conducting an agency's current business.

AGENCY. A department, office, State board, commission, public corporation, or other organizational unit of or created by the Executive Branch of the State government; the term does not include the University of Alaska, the Court System, or the Legislative Branch. (AS 40.21.150)

ANALYSIS. In records retention scheduling, the process of assessing the administrative, fiscal, and legal values of a record series in order to determine the retention period.

APPRAISAL. The process of determining the permanent or historical value and thus the final disposition of records.

ARCHIVAL RECORDS. See Archives.

ARCHIVES. (1) The non-current records of an agency preserved because of their continuing or enduring value. (2) The agency responsible for appraising, accessioning, preserving, and making available permanent records. (3) The building housing archival records.

ARCHIVES ADMINISTRATION. The management or direction of the program of an archival agency, including the following basic functions: appraisal, accessioning, preservation, arrangement, description, reference service, and such public programs as education, exhibits, and publications.

ARCHIVING. A term erroneously used throughout State government to mean the act of transferring records to the Records Center. The term is not used by ARMS staff and not generally accepted by archivists or records managers.

ARCHIVIST. A person responsible for, or engaged in, one or more of the functions listed under archives administration.

CASE FILES. Records, regardless of media, documenting a **specific** action, event, person, place, project, or other matter.

CERTIFICATION. (1) The act of attesting to the official character of a record or reproduction of a record. (2) A document containing a statement of certification.

CERTIFIED COPY. A reproduction of a document or file in the physical and/or legal custody of the Archives & Records Management Service containing a statement as to its official character.

CHARGEOUT. The act of recording the removal and loan of a document or file to indicate its location.

CUBIC FOOT. The basic measurement for record volume. For example, a letter-sized file drawer holds 1.5 cubic feet of records.

CURRENT RECORDS. Records necessary to conduct the current business of an agency and therefore generally maintained in office space and equipment.

CUSTODY. Guardianship or control of records, including both physical possession (physical custody) and legal responsibility (legal custody). The Records Center has physical custody of stored records, while the State Archives has both physical and legal custody of its records.

CUTOFF. Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks. Correspondence and subject files are cutoff and new folders are created for the current year.

DATA BASE. A set of information or data in electronic recordkeeping consisting of a group of files or records stored in one location and made available to multiple users at the same time for various applications.

DATA BASE MANAGEMENT SYSTEM (DBMS). A software system used to access and retrieve data stored in a data base.

DATA ELEMENT. In electronic recordkeeping, a combination of characters or bytes referring to one separate item of information, such as a name, address, or age. Also known as a data field.

DATA FILE. In electronic recordkeeping, an organized collection of related information or data, usually arranged into logical records that are stored together and treated as a unit.

DISPOSITION. (1) The actions taken regarding records no longer needed in current office space. These actions include transfer to the Records Center, transfer to the State Archives, or destruction. (2) The actions taken regarding non-record materials including screening and destruction.

DISPOSITION AUTHORIZATION. Legal approval empowering an agency to transfer permanent records to the State Archives or carry out the disposal of temporary records. The records retention schedule grants this legal approval.

DOCUMENTATION. (1) The act or process of substantiating by recording actions and/or decisions. (2) Records, usually in paper form, required to plan, develop, operate, maintain, and use electronic records. Included are systems specifications, file specifications, codebooks, record or file layout, user guides, and output specifications.

ELECTRONIC MAIL (E-MAIL). The process or result of sending and receiving messages in electronic form via remote computer terminals. One E-mail system in use on the State's central mainframe computers is known as PROFS.

ELECTRONIC RECORDKEEPING. The creation, maintenance, use, and disposition of records using a computer system.

ELECTRONIC RECORD. Records created and maintained in a form that only a computer can process. Also called machine-readable records, electronic data processing (EDP) records, or automated data processing (ADP) records.

EVIDENTIAL VALUE. The usefulness of records in documenting the organization, functions, and activities of an agency.

FILE. (1) An accumulation of records or non-record materials arranged according to a plan. (2) A unit, such as a folder, microform, or electronic medium, containing such records or non-record materials. (3) Storage equipment, such as a filing cabinet. (4) In electronic recordkeeping, an organized collection of related data, usually arranged into logical records that are stored together and treated as a unit.

FILE CODES. Numbers or alphabetic characters used to abbreviate lengthy file titles.

FILE CUTOFF. See CUTOFF.

FILE PLAN. (1) See FILING SYSTEM. (2) A plan designating the physical location of an agency's records, specific record series maintained there, and the arrangement of the records.

FILES CUSTODIAN. The person in charge of agency records. The files custodian is a working level designation of physical custody.

FILES MANAGEMENT. Applying records management principles and techniques to filing practices in order to organize and maintain records properly, retrieve them rapidly, ensure their completeness, and make their disposition easier.

FILING FEATURE. A characteristic by which a document is filed and found, such as a number, date, title, name, or subject.

FILING SYSTEM. A set of policies and procedures for organizing and identifying records to speed their retrieval, use, and disposition.

FINDING AIDS. Indexes, inventories, or other lists, whether manual or automated, that are designed to make it easier to locate relevant files or to retrieve information.

FISCAL VALUE. The usefulness of records in documenting an agency's financial transactions and obligations.

GENERAL CORRESPONDENCE FILES. See SUBJECT FILES.

GENERAL ADMINISTRATIVE RECORDS SCHEDULES. An ARMS-issued retention schedule covering records common to several or all state agencies.

HISTORICAL RECORDS. See PERMANENT RECORDS.

HISTORICAL VALUE. The usefulness of records in documenting the activities, policies, and procedures of an agency.

INACTIVE RECORDS. See NON-CURRENT RECORDS.

INFORMATIONAL VALUE. The usefulness of records in documenting the persons, places, things, or matters dealt with by an agency.

INTRINSIC VALUE. In archives administration, the value of those permanent records that should be preserved in their original form rather than as copies or reproductions such as on microfilm.

INVENTORY. (1) A survey of agency records and non-record materials that is conducted primarily to develop a records retention schedule or to identify various records management problems. (2) The results of such a survey. (3) In archives administration, a type of detailed finding aid for accessioned records.

LEGAL VALUE. The usefulness of records in documenting legally enforceable rights or obligations.

LIFE CYCLE OF RECORDS. The management concept that records pass through three stages: creation, maintenance and use, and disposition.

MACHINE-READABLE RECORDS. See ELECTRONIC RECORDS.

MICROFORM. Any medium containing greatly reduced imaged, micro-images. Includes microfilm reels, cartridges, cassettes, microfiche, microfilm jackets, or aperture cards.

MICROGRAPHICS. The practice of producing or reproducing information on microfilm.

NONCURRENT RECORDS. Records no longer required to conduct agency business and therefore ready for transfer to the Records Center, transfer to the State Archives, or for destruction.

NONRECORD MATERIALS. Informational materials excluded from the legal definition of records. Includes extra copies kept for convenience or reference, stocks of publications, and library materials.

PERMANENT RECORDS. Records appraised by the State Archives as having sufficient historical, evidential, or informational value to warrant continued preservation by the State Government beyond the time they are needed for administrative, fiscal, or legal purposes. Also called archival records.

PERSONAL PAPERS. Non-official or private papers relating solely to an individual's own affairs. Should be clearly designated as such and kept separate from the agency's official records.

PROGRAM RECORDS. Records documenting or resulting from the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

PUBLIC RECORDS. (1) In general usage, records accumulated by government agencies. (2) Records open to public inspection by law or regulation. (3) See RECORD.

RECORD. Any document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, or other document of any other material, regardless of physical form or characteristic, developed or received under law or in connection with the transaction of official business and preserved or appropriate for preservation by an agency or political subdivision, as evidence of the organization, function, policies, decisions, procedures, operations or other activities of the state or political subdivision or because of the information value in them.

RECORD GROUP. In archives administration, a body of organizationally related records established after considering the organization's administrative history and complexity and the volume of its records. Record groups are assigned numbers for quick reference and tracking purposes.

RECORD SERIES. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access.

RECORDS CENTER. A facility for the low-cost storage and servicing of agency records pending disposition. Includes the State Records Center in Juneau, ARMS authorized agency records storage centers, and the contract records center in Anchorage.

RECORDS MANAGEMENT. The systematic control of records throughout the life cycle achieved by establishing standards for the creation, distribution, use, retention, storage, retrieval, protection, preservation, and final disposition of records.

RECORDS OFFICER. A person appointed by the chief executive officer of an agency to act as a liaison between the agency and ARMS and to oversee the agency records management program. Also called Departmental Records Officer.

RETENTION PERIOD. The length of time a record series is to be kept.

RETENTION SCHEDULE. A document providing authority for the management of agency records. The schedule lists and describes agency records and sets forth time periods for retention in the office and records center as well as the final disposition, either destruction or transfer to the State Archives for permanent preservation. Also called a Records Retention Schedule.

SUBJECT CLASSIFICATION SYSTEM. A plan used for identifying and code documents by topic to provide an orderly and accurate way of filing and finding.

SUBJECT FILES. Records arranged and filed according to their general informational, or subject, content. Includes mainly letters and memoranda but also documents, reports, and other materials, all relating to program and administrative functions, not to specific cases. Also called general correspondence.

VITAL RECORDS. Records essential to the continued functioning or reconstitution of an agency during or after an emergency and also those records that protect the rights and interests of the agency and the individuals directly affected by its activities.

WEEDING. Examining files to identify and remove documents of short-term value, especially those eligible for immediate destruction, such as duplicates.

DIRECTORY

ARCHIVES & RECORDS MANAGEMENT SERVICES
141 Willoughby Avenue, Juneau, Alaska 99801-0720

CENTRAL MICROFILM SERVICES
7th Floor State Office Building, Juneau, Alaska 99811

RECORDS CENTER ANNEX
3151 Channel Drive, Juneau, Alaska 99801-7815

MAILING ADDRESS: 141 Willoughby Avenue, Juneau, Alaska 99801-1720

TELEPHONE

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Archives Reference ..... (907) 465-2270

Records Center ..... (907) 465-2271

Records Center Annex ..... (907) 465-4630

Records Analyst ..... (907) 465-2276

Central Microfilm Services ..... (907) 465-2274

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